

**UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF NEW YORK**

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| RUBEN WILLS,<br><br>Plaintiff<br><br>vs.<br><br>MICROGENICS CORPORATION, ET AL.,<br><br>Defendants | Hon. Vera M. Scanlon<br><br>CASE 1:19-cv-06558-VMS<br><br><b>DECLARATION OF NATHAN J.<br/>MARCUSEN IN SUPPORT OF<br/>DEFENDANT MICROGENICS<br/>CORPORATION'S PARTIAL MOTION<br/>TO DISMISS PLAINTIFF'S SECOND<br/>AMENDED CLASS ACTION<br/>COMPLAINT</b> |
|--|--|

I, the undersigned, Nathan J. Marcusen, declare as follows under 28 U.S.C. § 1746:

1. I am an attorney at Bowman and Brooke LLP and am one of the attorneys for Defendant Microgenics Corporation in this case. I am over 18 years of age, am fully competent to make this affidavit, and do so on personal knowledge.

2. Attached as Exhibit 1 is a true and correct copy of Contract No. CC161458 between Microgenics Corporation and the New York Department of Corrections and Community Supervision and all corresponding appendices. Slip sheets separating the appendices were added for ease of reference. (While a copy of Contract No. CC161458 was previously filed with the Court, *see* ECF No. 48-2 at 4–158, Attachments A through F to Appendix H were inadvertently omitted from the copy previously submitted.)

3. Attached as Exhibit 2 is a true and correct copy of the Package Insert for the CEDIA Buprenorphine II Assay.

I declare under penalty of perjury that the foregoing is true and correct.

Executed this 10<sup>th</sup> day of June, 2021, at Minneapolis, Minnesota.

*s/Nathan J. Marcusen*  
Nathan J. Marcusen

# EXHIBIT 1

# STATE OF NEW YORK AGREEMENT

|   |   |
|---|---|
| <u>STATE AGENCY (Name &amp; Address):</u><br><br>New York State Department of Corrections and<br>Community Supervision<br>The Harriman State Campus<br>1220 Washington Avenue<br>Albany, New York 12226 | <u>BUSINESS CODE:</u><br>DOC01<br><br><u>NYS COMPTROLLER'S NUMBER</u><br>CC161458<br><br><u>DEPARTMENT CODE:</u><br>3250226   |
| <u>CONTRACTOR (Name &amp; Address)</u><br><br>Microgenics Corporation<br>46500 Kato Road<br>Fremont CA 94538  | <u>TYPE OF PROGRAM (S):</u><br><br>Urinalysis Analyzers for Correctional Facilities   |
| <u>FEDERAL TAX IDENTIFICATION NUMBER</u><br><br>680418167<br><br><u>NYS VENDOR ID NUMBER</u><br><br>1000009626  | <u>INITIAL CONTRACT PERIOD</u><br><br>FROM: September 1, 2018<br><br>TO: August 31, 2023<br><br><u>FUNDING AMOUNT FOR INITIAL PERIOD NOT TO EXCEED</u><br><br><div style="background-color: black; color: red; padding: 2px; text-align: center; font-weight: bold;">REDACTED</div> |

## APPENDICES ATTACHED AND PART OF THIS AGREEMENT:

|              |            |  |
|--------------|------------|--|
| <u>  X  </u> | APPENDIX A | Standard Clauses for New York State Contracts          |
| <u>  X  </u> | APPENDIX B | Appendix B General Specifications                      |
| <u>  X  </u> | APPENDIX C | Invitation for Bids 2018-06                            |
| <u>  X  </u> | APPENDIX D | Bid Cost Sheet   |
| <u>  X  </u> | APPENDIX E | Vendor Assurance of Non-Conflict or Detrimental Effect |
| <u>  X  </u> | APPENDIX F | Non-Disclosure Agreement                               |
| <u>  X  </u> | APPENDIX G | M/WBE and EEO Policy Statement                         |
| <u>  X  </u> | APPENDIX H | Contractor's Bid                                       |

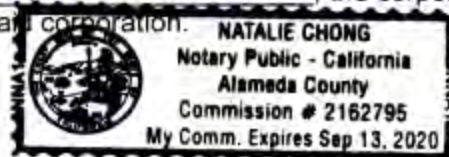
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IN WITNESS THEREOF, the parties hereto have executed or approved this AGREEMENT on the dates below their signatures.

|  |  |
|--|--|
| <b>CONTRACTOR</b><br>Microgenics Corporation<br><br>By: <u>Carol Bowers</u><br><br><u>Carol Bowers</u><br>Printed Name<br><br>Title: <u>Sr. Finance Director / CDD Niche</u><br><br>Date: <u>6/18/18</u> | Contract No. <u>CC161458</u><br><br><b>STATE AGENCY</b><br><u>New York State Department of Corrections and</u><br><u>Community Supervision</u><br><br>By: <u>Melissa McLaughlin</u><br><br><u>Melissa McLaughlin</u><br>Printed Name<br><br>Title: <u>Director of Budget and Finance</u><br><br>Date: <u>7/6/18</u><br><br>State Agency Certification<br>"In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract." |
|--|--|

STATE OF California )  
County of Alameda ) SS.:  
On the 18<sup>th</sup> day of June, 2018, before me personally appeared Carol E. Bowers, to me known, who being by me duly sworn, did depose and say that he/she <sup>works</sup> resides at ThermoFisher Scientific 46500 Kato Rd Fremont CA, that he/she is the Sr. Finance Director of the ThermoFisher- CDD Microgenics, the corporation described herein which thereto by order of the board of directors of said corporation.

(Notary) NATALIE CHONG  
Natalie Chong



ATTORNEY GENERAL'S SIGNATURE

|   |
|---|
| APPROVED AS TO FORM<br>NYS ATTORNEY GENERAL                                       |
| Title: <u>JUL 30 2018</u>   |
| Date: <u>Benjamin L. Maggi</u><br>BENJAMIN L. MAGGI<br>ASSISTANT ATTORNEY GENERAL |

STATE COMPTROLLER'S SIGNATURE

|   |
|---|
| APPROVED<br>DEPT. OF AUDIT & CONTROL                        |
| Title: <u>OCT 09 2018</u>                                   |
| Date: <u>William D. Hughes</u><br>FOR THE STATE COMPTROLLER |



## **AGREEMENT**

This AGREEMENT made this \_\_\_\_ day of June, 2018 between the NEW YORK STATE DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION (hereinafter referred to as "DOCCS"), with its principal office located at The Harriman State Campus, 1220 Washington Avenue, Albany, New York 12226 and Microgenics Corporation (hereinafter "CONTRACTOR"), with its principal office located at 46500 Kato Road, Fremont, CA 94538 for Urinalysis Analyzers at DOCCS 52 Correctional Facilities, and

WHEREAS, pursuant to New York Correction Law § 112(1), the Commissioner of DOCCS is given the authority to contract with private entities for the performance of such functions deemed necessary or desirable to promote the efficient operation of DOCCS, as well as the fulfillment of all lawful responsibilities of DOCCS; and

WHEREAS, the CONTRACTOR is ready, willing and able to provide such services and possesses or can make available all necessary qualified personnel, licenses, facilities and expertise to perform or have performed the services required pursuant to the terms of this AGREEMENT; and

NOW THEREFORE, in consideration of the promises, responsibilities and covenants herein, the STATE and the CONTRACTOR agree as follows:

### **I. TERM**

A. When signed by the parties and approved by all necessary government agencies, this AGREEMENT shall commence on September 1, 2018, and continue for five (5) years from the commencement date ("Term") unless terminated earlier pursuant to its terms.

### **II. AMENDMENTS**

A. This AGREEMENT may be amended only upon the mutual written agreement of the parties.

B. To modify the AGREEMENT within an existing Term or Renewal Term, the parties shall execute an amendment to the agreement. Any change in the amount of consideration to be paid, change in scope, or change in the term, is subject to the approval of the Office of the State Comptroller.

C. Any such amendment to or extension of this AGREEMENT shall be subject to approval by the Office of the State Comptroller ("OSC") and where necessary as set forth in Section X(A) below, shall contain a new budget.

### **III. SUBCONTRACTING**

A. The CONTRACTOR agrees not to subcontract any of its services, unless as indicated in its proposal, without the prior written approval of the DOCCS. Approval shall not be unreasonably withheld upon receipt of written request to subcontract.

The CONTRACTOR may arrange for a portion/s of its responsibilities under this AGREEMENT to be subcontracted to qualified, responsible subcontractors, subject to approval of the DOCCS. If the CONTRACTOR determines to subcontract a portion of the services, the subcontractors must be clearly identified and the nature and extent of its involvement in and/or proposed performance under this AGREEMENT must be fully explained by the CONTRACTOR to the DOCCS. As part of this explanation, the subcontractor must submit to the DOCCS a completed Vendor Assurance of No Conflict of Interest or Detrimental Effect form, as required by the CONTRACTOR prior to execution of this AGREEMENT.

The CONTRACTOR retains ultimate responsibility for all services performed under the AGREEMENT.

All subcontracts shall be in writing and shall contain provisions, which are functionally identical to, and consistent with, the provisions of this AGREEMENT

including, but not limited to, the body of this AGREEMENT, Appendix A – Standard Clauses for New York State Contracts, Appendix B–General Specifications, and Appendix C–IFB 2018-06. Unless waived in writing by the DOCCS, all subcontracts between the CONTRACTOR and subcontractors shall expressly name the STATE, through DOCCS, as the sole intended third party beneficiary of such subcontract. The DOCCS reserves the right to review and approve or reject any subcontract, as well as any amendment to said subcontract(s), and this right shall not make the DOCCS or the STATE a party to any subcontract or create any right, claim, or interest in the subcontractor or proposed subcontractor against the DOCCS.

The DOCCS reserves the right, at any time during the term of the AGREEMENT, to verify that the written subcontract between the CONTRACTOR and subcontractors is in compliance with all of the provisions of this Section and any subcontract provisions contained in this AGREEMENT.

The CONTRACTOR shall give the DOCCS immediate notice in writing of the initiation of any legal action or suit which relates in any way to a subcontract with a subcontractor or which may affect the performance of the CONTRACTOR's duties under the AGREEMENT. Any subcontract shall not relieve the CONTRACTOR in any way of any responsibility, duty and/or obligation of the AGREEMENT.

If at any time during performance under this AGREEMENT total compensation to a subcontractor exceeds or is expected to exceed **REDACTED**, that subcontractor shall be required to submit and certify a Vendor Responsibility Questionnaire.

#### **IV. TERMINATION**

A. DOCCS shall have the right to terminate this AGREEMENT early for (i) unavailability of funds or (ii) convenience provided that the DOCCS has given written notice to the CONTRACTOR no later than thirty (30) days or more prior to the date of termination.

B. DOCCS may terminate the AGREEMENT for cause immediately upon written notice of termination to the CONTRACTOR, if the CONTRACTOR fails to comply with the terms and conditions of this AGREEMENT and/or with any laws, rules, regulations, policies or procedures affecting this AGREEMENT.

C. DOCCS may terminate this AGREEMENT without cause by thirty (30) days prior written notice. In the event of such termination, the parties will adjust the accrued amount due and the CONTRACTOR will undertake no additional expenditures not already required.

D. This AGREEMENT may be terminated at any time upon mutual written consent of DOCCS and the CONTRACTOR.

E. DOCCS reserves the right to terminate this AGREEMENT in the event it is found that the certification filed by the CONTRACTOR in accordance with New York State Finance Law Sections 139-j and 139-k was intentionally false or intentionally incomplete. Upon such finding, DOCCS may exercise its termination right by providing written notification to the CONTRACTOR in accordance with the written notification terms of this AGREEMENT.

F. In the event of the termination of this AGREEMENT by either party, DOCCS shall be liable for the actual and necessary expenses for services provided by CONTRACTOR up to and including the effective date of termination.

## **V. CONTRACTOR RESPONSIBILITY**

A. The CONTRACTOR shall, at all times during the AGREEMENT term remain responsible. The CONTRACTOR agrees, if requested by the Commissioner of DOCCS or his designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.

B. The Commissioner of DOCCS or his designee, in his sole discretion, reserves the right to suspend any or all activities under this AGREEMENT, at any time, when he discovers information that calls into question the responsibility of the CONTRACTOR. In the event of such suspension, the CONTRACTOR will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the CONTRACTOR must comply with the terms of the suspension order. Contract activity may resume at such time as the Commissioner of DOCCS or his designee issues a written notice authorizing a resumption of performance under the Contract.

C. Upon written notice to the CONTRACTOR, and a reasonable opportunity to be heard with appropriate DOCCS officials or staff, the AGREEMENT may be terminated by the Commissioner of DOCCS or his designee at the CONTRACTOR'S expense where the CONTRACTOR is determined by the DOCCS Commissioner or his designee to be non-responsible. In such event, the Commissioner or his designee may complete the contractual requirements in any manner he may deem advisable and pursue available legal or equitable remedies for breach.

## **VI. CONFLICTS OF INTEREST**

A. The CONTRACTOR has provided a form (Vendor Assurance of No Conflict of Interest or Detrimental Effect), signed by an authorized executive or legal representative attesting that the CONTRACTOR's performance of the services does not and will not create a conflict of interest with, nor position the CONTRACTOR to breach any other contract currently in force with the State of New York, that the CONTRACTOR will not act in any manner that is detrimental to any STATE project on which the CONTRACTOR is rendering services.

B. The CONTRACTOR hereby reaffirms the attestations made in its proposal and covenants and represents that there is and shall be no actual or potential conflict of interest that could prevent the CONTRACTOR's satisfactory or ethical performance of duties required to be performed pursuant to the terms of this

AGREEMENT. The CONTRACTOR shall have a duty to notify the DOCCS immediately of any actual or potential conflicts of interest.

C. In conjunction with any subcontract under this AGREEMENT, the CONTRACTOR shall obtain and deliver to the AGENCY, prior to entering into a subcontract, a Vendor Assurance of No Conflict of Interest or Detrimental Effect form, signed by an authorized executive or legal representative of the subcontractor. The CONTRACTOR shall also require in any subcontracting agreement that the subcontractor, in conjunction with any further subcontracting agreement, obtain and deliver to the AGENCY a signed and completed Vendor Assurance of No Conflict of Interest or Detrimental Effect form for each of its subcontractors prior to entering into a subcontract.

D. The AGENCY and the CONTRACTOR recognize that conflicts may occur in the future because the CONTRACTOR may have existing, or establish new, relationships. The AGENCY will review the nature of any relationships and reserves the right to terminate this AGREEMENT for any reason, or for cause, if, in the judgment of the AGENCY, a real or potential conflict of interest cannot be cured.

## **VII. PUBLIC OFFICERS LAW**

A. Contractors, consultants, vendors, and subcontractors may hire former State Agency or Authority employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of the State Agency or Authority may neither appear nor practice before the State Agency or Authority, nor receive compensation for services rendered on a matter before the State Agency or Authority, for a period of two years following their separation from State Agency or Authority service. In addition, former State Agency or Authority employees are subject to a "lifetime bar" from appearing before the State Agency or Authority or receiving compensation for services regarding any transaction in which they personally participated or which was under their active consideration during their tenure with the State Agency or Authority.

## **VIII. ETHICS REQUIREMENTS**

A. The Contractor and its Subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). The Contractor certifies that all of its employees and those of its Subcontractors who are former employees of the State and who are assigned to perform services under this Contract shall be assigned in accordance with all Ethics Requirements. During the Term, no person who is employed by the Contractor or its Subcontractors and who is disqualified from providing services under this Contract pursuant to any Ethics Requirements may share in any net revenues of the Contractor or its Subcontractors derived from this Contract. The Contractor shall identify and provide the State with notice of those employees of the Contractor and its Subcontractors who are former employees of the State that will be assigned to perform services under this Contract, and make sure that such employees comply with all applicable laws and prohibitions. The State may request that the Contractor provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. The State shall have the right to withdraw or withhold approval of any Subcontractor if utilizing such Subcontractor for any work performed hereunder would be in conflict with any of the Ethics Requirements. The State shall have the right to terminate this Contract at any time if any work performed hereunder is in conflict with any of the Ethics Requirements.

## **IX. INVITATION FOR BIDS (IFB) AND AWARD**

A. DOCCS has determined that Microgenics Corporation is the successful bidder and that CONTRACTOR is willing and able to provide the services required.



B. CONTRACTOR shall provide urinalysis analyzers to DOCCS Correctional Facilities located throughout New York State in accordance with DOCCS IFB 2018-06, a true copy of which is annexed hereto and made a part hereof as Appendix C; and the proposal for said bid submitted by CONTRACTOR, a true copy of which is annexed hereto and made a part of as Appendix H.

#### **X. SCOPE OF SERVICES**

A. Pursuant to this AGREEMENT, CONTRACTOR shall provide the services set forth herein and in Appendix C, IFB 2018-06, contains a description of the services to be provided by CONTRACTOR.

B. It is expressly understood and agreed by CONTRACTOR that any and all services and products specified in this AGREEMENT shall be provided only at the direction of DOCCS.

#### **XI. COMPENSATION**

A. All compensation that will be paid to the CONTRACTOR is set forth in Appendix D which is attached hereto and made a part of hereof. Appendix D consists of the Bid Cost Sheet.

B. Throughout the term of this AGREEMENT, CONTRACTOR shall be reimbursed only for actual and necessary expenses for services actually performed in accordance with this AGREEMENT and with Appendices C and H.

C. CONTRACTOR acknowledges that all invoices shall be submitted to the following address:

Department of Corrections and Community Supervision  
Unit ID: 3250226  
c/o NYS OGS Business Services Center  
P.O. Box 2117  
Albany, NY 12220-0117

D. CONTRACTOR shall provide complete and accurate billing invoices to the DOCCS in order to receive payment. Billing invoices submitted to the DOCCS must contain all information and supporting documentation required by the Contract, DOCCS, and OSC. Payment for invoices submitted by the CONTRACTOR shall only be rendered electronically unless payment by paper check is expressly authorized by the DOCCS Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The CONTRACTOR shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at [www.osc.state.ny.us/epay/index.htm](http://www.osc.state.ny.us/epay/index.htm), by e-mail at [epundit@osc.state.ny.us](mailto:epundit@osc.state.ny.us) or by telephone at (518) 474-4032. CONTRACTOR acknowledges that it will not receive payment on any invoices submitted under this Contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

## **XII. CONFIDENTIALITY**

A. In addition to the confidentiality requirements, if any, contained in Appendix G, CONTRACTOR acknowledges that any and all information, records, files, documents or reports contained in any media format (e.g. print, electronic) provided to CONTRACTOR by the DOCCS or otherwise encountered by CONTRACTOR in the provision of services pursuant to this AGREEMENT shall be considered extremely confidential and shall be handled accordingly at all times. Neither CONTRACTOR nor any of its employees, servants, subcontractors, agents or volunteers shall at any time be permitted to utilize any such confidential information for any purpose outside the scope of this AGREEMENT without the express prior written authorization of DOCCS. CONTRACTOR shall educate, monitor and be responsible for its employees, servants, subcontractors, agents and volunteers providing services for CONTRACTOR pursuant to this AGREEMENT concerning these confidentiality requirements. Any breach of the confidentiality requirements

set forth in this Section or in Appendix C by CONTRACTOR or by any of its employees, servants, subcontractors, agents or volunteers may result in the immediate termination of this AGREEMENT by the DOCCS and may subject the CONTRACTOR to further penalties. Annexed hereto as Appendix F is a copy of the Non-Disclosure Agreement

### **XIII. INDEPENDENT CONTRACTOR**

A. It is expressly understood and agreed that CONTRACTOR'S status hereunder is that of an independent contractor and that no official, employee, servant, subcontractor, agent or volunteer of CONTRACTOR is an employee of the DOCCS or the State of New York. CONTRACTOR is solely responsible for the work, compensation, benefits and personal conduct of all such persons assigned to the provision of services pursuant to this AGREEMENT. Nothing contained in this Section or in any other provision of this AGREEMENT shall be construed to impose any liability or duty to the DOCCS or the State of New York to persons, firms, consultants or corporations employed or engaged or otherwise utilized by the CONTRACTOR, either directly or indirectly, in any capacity whatsoever, nor shall the DOCCS or the State of New York be liable for any acts, omissions, obligations and taxes of any nature, including unemployment insurance and worker's compensation, of CONTRACTOR or any of its officials, employees, servants, subcontractors, agents or volunteers.

### **XIV. ASSIGNMENT**

A. The rights and obligations of CONTRACTOR under this AGREEMENT may not be assigned, conveyed, transferred, or subcontracted by CONTRACTOR without prior written authorization of the DOCCS as set forth in Appendix A.

### **XV. NOTICES**

A. All notices and communications made pursuant to this AGREEMENT shall be in writing and shall be delivered to the addresses set forth below or to such

addresses as the parties may from time to time provide to each other. Said notices should be served via registered mail or personally.

Notification to DOCCS:                   NYS DOCCS  
Contract Procurement Unit  
The Harriman State Campus  
1220 Washington Avenue  
Albany, New York 12226

Notification to CONTRACTOR:   Microgenics Corporation  
46500 Kato Road  
Fremont, CA 94538

or any other address as may be hereinafter designated by written notice. No notice shall be effective until received by the addressee. Communications concerning the daily functions and operation of the scope of services are not to be considered as notices. Thus, such communications may be done via telephone, e-mail, fax, United States Postal Service or other means.

## **XVI. MISCELLANEOUS PROVISIONS**

- a. Entire Agreement: This AGREEMENT, including the face page and all its appendices, constitutes the entire AGREEMENT between the parties and supersedes all other communications between the parties relating to the subject matter herein.
- b. Appendix A: DOCCS Appendix A (Standard Clauses as required by the Attorney General for all State contracts) is attached hereto and made a part hereof.
- c. In the event of any conflict between the terms of this Agreement and the terms of it Appendices, the following order of precedence shall apply:

- ☐ Appendix A Standard Clauses for New York State Contracts
- ☐ Appendix B General Specifications
- ☐ Agreement #CC161458
- ☐ Appendix C Invitation for Bids 2018-06

- ☐ Appendix D Bid Cost Sheet
- ☐ Appendix E Vendor Assurance of Non-Conflict or Detrimental Effect;
- ☐ Appendix F Non-Disclosure
- ☐ Appendix G M/WBE and EEO Policy Statement
- ☐ Appendix H Contractor's Bid

- d. Controlling Statutes: This AGREEMENT shall be governed by and construed in accordance with the laws of the State of New York.
- e. Unenforceability: If any part of this AGREEMENT is found to be unenforceable for any reason, that part shall be deemed deleted and all other terms, conditions, and provisions of this AGREEMENT shall remain in full force and effect.
- f. Captions: The captions contained in this AGREEMENT are intended for convenience and reference purposes only and shall in no way be deemed to define, limit or describe the scope or intent of this AGREEMENT, or any provision thereof, or in any way affect this AGREEMENT.
- g. Defense and Indemnification: The Contractor shall assume all risks of liability for its performance, or that of any of its officers, employees, subcontractors or agents, of this contract and shall be solely responsible and liable for all liabilities, losses, damages, costs or expenses, including attorney's fees, arising from any third-party claim, action or proceeding relating to or in any way connected with the performance of this Agreement and covenants and agrees to indemnify and hold harmless the People of the State of New York and NYS Department of Corrections and Community Supervision, their agents, officers and employees, from any and all third-party claims, suits, causes of action and losses of whatever kind and nature, arising out of or in connection with its performance of any contract resulting from this solicitation, including negligence, active or passive or improper conduct of the Contractor, its officers, agents, subcontractors or employees, or the failure by the Contractor, its officers, agents, subcontractors or employees to perform

any obligations or commitments to the State or third parties arising out of or resulting from any contract resulting from this solicitation. The CONTRACTOR's duty to indemnify shall cover direct, indirect, special and consequential damages. Such indemnity shall not be limited to the insurance coverage herein prescribed.

- h. Force Majeure: Neither party shall be liable for losses, defaults, or damages, under this AGREEMENT which result from delays in performing, or inability to perform, all or any of the obligations or responsibilities imposed upon it pursuant to the terms and conditions of this AGREEMENT, due to or because of acts of God, the public enemy, acts of government, earthquakes, floods, strikes, typhoons, civil strife, fire or any cause beyond the reasonable control of the party that was so delayed in performing or so unable to perform, provided that such party was not negligent and shall have used reasonable efforts to avoid and overcome such cause. Such party will resume full performance of such obligations and responsibilities promptly upon removal of any such cause.
- i. Non-sectarian: CONTRACTOR is a non-sectarian organization and does not have as one of its purposes the advancement of any religion.
- j. McBride: CONTRACTOR has no business operations in Northern Ireland.
- k. Strict Adherence: The failure of DOCCS to insist upon strict adherence to any provision, fiscal obligation, reporting or other requirement of this AGREEMENT shall not be considered to constitute a waiver or constructive modification to deprive DOCCS of the right to insist upon strict adherence to the terms of this AGREEMENT in the future.
- l. Approval: This AGREEMENT shall not become effective unless and until approved by the Department of Law (Attorney General) and the Comptroller.

- m. M/WBE: By signing said AGREEMENT, CONTRACTOR agrees to comply with all requirements of Minority and Women Business Enterprise Laws, Regulations and Rules (M/WBE) Annexed hereto as Appendix G is a copy of the M/WBE policy.
- n. Executive Order Number 177: By signing said AGREEMENT, CONTRACTOR agrees to comply with all requirements of Executive Order 177. The CONTRACTOR has provided EO177 certification form, signed by an authorized executive or legal representative, as evidence of compliance with the foregoing. Please refer to the Executive Order #177 at:<https://www.governor.ny.gov/sites/governor.ny.gov/files/atoms/files/EO177.pdf>



## **AMENDMENT TO CONTRACT #CC161458**



# Corrections and Community Supervision

**ANDREW M. CUOMO**  
Governor

**ANTHONY J. ANNUCCI**  
Acting Commissioner

## **Amendment to Contract #CC161458** **September 28, 2018**

Larry Wilkie  
Eastern US Regional Sales Manager  
Clinical Diagnostics Division -Toxicology  
Microgenics Corp/Thermo Fisher Scientific  
46500 Kato Road  
Fremont, CA 94538

Dear Mr. Wilkie,

This Amendment ("Amendment Number 1") is executed and delivered to amend certain terms and conditions in Contract #CC161458 between the Department of Corrections and Community Supervision ("DOCCS") and Microgenics Corporation ("Contractor"). When accepted by Contractor, it will become part of the Contract Agreement and will be further evidence of the parties' agreement with respect to the matters set forth below. Please indicate your acceptance of the following terms and conditions by signing below.

1. The test kits used in urinalysis testing typically have a 6 to 24-month shelf life depending on the assay. Should the manufacturer shipped product be short-dated (prior to a 6 month shelf-life) and the customer is unable to use, the manufacturer will replace that product at no charge.
2. Installation/Training Inventory Management Plan per site in regards to ordering/inventory management.
  - Each of the DOCCS Steward's office will be given a standardized ordering sheet that suggests how much they need to order on a QTRLY basis based on their specific volume.
  - During the individual site trainings, each facility's Drug testing Captain or Lt. in charge office will be given a standardized ordering sheet that suggests how much they need to order on a QTRLY basis based on their specific volume.
  - During individual site trainings, the Thermo Fisher Scientific instructor will discuss the usage from each kit and what normal usage should be based on that site's individual volume.
  - Post order recommendations in training materials for reference and in other relevant places that would help in regards to compliance.

- Hold Bi-yearly reviews with each site to determine if usage needs to be increased or decreased based on changing needs. This review will summarize account activity specific for that location and will provide details such as the annual proposed quantities per reagent, totals ordered to date and the expenses. Data will be delineated by reagent types, numbers of tests and dollars spent.
- If the volume or reagents in use changes, DOCCS will notify the local Account Manager ASAP of the need to change.
- We would encourage DOCCS purchasing departments to limit the specific dollar amount each site can spend in a PO to what is recommended per their projected volume.
- If anything was needed above this recommendation, have individual site share details with individual purchasing departments for DOCCS on rationale.

### 3. NYS DOCCS-State Level information in Aggregate.

- Provide all data that was shared for each individual site in aggregate.
- Submit bi-annual reporting of contract activity resulting from the Master Agreement. Will summarize all account activity by each location and with purchasing activity details such as the annual proposed quantities per reagent, totals ordered to date and the costs. Data that is delineated by reagent types and numbers of tests.

"Above Revision Agreed to and Accepted"

#### CONTRACTOR

|   |                                   |
|---|-----------------------------------|
| Authorized signature: <i>Deborah Robinson</i> | Title: <i>FINANCE MANAGER SNR</i> |
| Print name: <i>DEBORAH ROBINSON</i>           | Date: <i>10/2/18</i>              |

#### DOCCS

|  |                                     |
|--|-------------------------------------|
| Authorized signature: <i>Kim M. Gurney</i> | Title: <i>ASST DIR. FIN ADMIN 3</i> |
| Print name: <i>Kim M. Gurney</i>           | Date: <i>10/3/18</i>                |

#### OFFICE OF THE STATE COMPTROLLER



# **APPENDIX A**

## **Standard Clauses for New York State Contracts**

**APPENDIX A**

**STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS**

**PLEASE RETAIN THIS DOCUMENT  
FOR FUTURE REFERENCE.**

January 2014

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## STANDARD CLAUSES FOR NYS CONTRACTS

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licenser, licensee, lessor, lessee or any other party):

**1. EXECUTORY CLAUSE.** In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

**2. NON-ASSIGNMENT CLAUSE.** In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State's previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller's approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor's business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

**3. COMPTROLLER'S APPROVAL.** In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds REDACTED (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds REDACTED, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed REDACTED (State Finance Law Section 163.6-a). However, such pre-approval shall not be required for any contract established as a centralized contract through the Office of General Services or for a purchase order or other transaction issued under such centralized contract.

**4. WORKERS' COMPENSATION BENEFITS.** In accordance with Section 142 of the State Finance Law, this

contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

**5. NON-DISCRIMINATION REQUIREMENTS.** To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex (including gender identity or expression), national origin, sexual orientation, military status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

**6. WAGE AND HOURS PROVISIONS.** If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of



any State approved sums due and owing for work done upon the project.

**7. NON-COLLUSIVE BIDDING CERTIFICATION.** In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

**8. INTERNATIONAL BOYCOTT PROHIBITION.** In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

**9. SET-OFF RIGHTS.** The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

**10. RECORDS.** The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this

contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

**11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.**

(a) Identification Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, must give the reason or reasons why the payee does not have such number or numbers.

(b) Privacy Notification. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in the Statewide Financial System by the Vendor Management Unit within the Bureau of State Expenditures, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

**12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.**

In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of **REDACTED**

whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of REDACTED whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of REDACTED whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", REDACTED \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment

opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

**13. CONFLICTING TERMS.** In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

**14. GOVERNING LAW.** This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

**15. LATE PAYMENT.** Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

**16. NO ARBITRATION.** Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

**17. SERVICE OF PROCESS.** In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

**18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS.** The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

#### **19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES.**

In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

**20. OMNIBUS PROCUREMENT ACT OF 1992.** It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development  
Division for Small Business  
Albany, New York 12245  
Telephone: 518-292-5100  
Fax: 518-292-5884  
email: [opa@esd.ny.gov](mailto:opa@esd.ny.gov)

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development  
Division of Minority and Women's Business Development  
633 Third Avenue  
New York, NY 10017  
212-803-2414  
email: [mwbecertification@esd.ny.gov](mailto:mwbecertification@esd.ny.gov)  
<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

#### **21. RECIPROCITY AND SANCTIONS PROVISIONS.**

Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

**22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT.** Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

**23. COMPLIANCE WITH CONSULTANT DISCLOSURE LAW.** If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4-g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to the agency that awarded

the contract, the Department of Civil Service and the State Comptroller.

**24. PROCUREMENT LOBBYING.** To the extent this agreement is a "procurement contract" as defined by State Finance Law Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

**25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.**

To the extent this agreement is a contract as defined by Tax Law Section 5-a, if the contractor fails to make the certification required by Tax Law Section 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

**26. IRAN DIVESTMENT ACT.** By entering into this Agreement, Contractor certifies in accordance with State Finance Law §165-a that it is not on the "Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012" ("Prohibited Entities List") posted at:  
<http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract, it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the State.

During the term of the Contract, should the state agency receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, the state agency will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the state agency shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not

limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

The state agency reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

# **APPENDIX B**

## **General Specifications**

**APPENDIX B**  
**GENERAL SPECIFICATIONS**

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**GENERAL**

1. **APPLICABILITY** The terms and conditions set forth in this Appendix B are expressly incorporated in and applicable to the resulting procurement contracts let by the Department of Corrections and Community Supervision, or let by any other Authorized User where incorporated by reference in its Bid Documents. Captions are intended as descriptive and are not intended to limit or otherwise restrict the terms and conditions set forth herein.

2. **GOVERNING LAW** This procurement, the resulting contract and any purchase orders issued hereunder shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise, and actions or proceedings arising from the contract shall be heard in a court of competent jurisdiction in the State of New York.

3. **ETHICS COMPLIANCE** All Bidders/Contractors and their employees must comply with the requirements of Sections 73 and 74 of the Public Officers Law, other State codes, rules, regulations and executive orders establishing ethical standards for the conduct of business with New York State. In signing the Bid, Bidder certifies full compliance with those provisions for any present or future dealings, transactions, sales, contracts, services, offers, relationships, etc., involving New York State and/or its employees. Failure to comply with those provisions may result in disqualification from the Bidding process, termination of contract, and/or other civil or criminal proceedings as required by law.

4. **CONFLICT OF TERMS** Unless otherwise set forth in the procurement or contract documents, conflicts among documents shall be resolved in the following order of precedence:

- a. **Appendix A** (Standard Clauses for NYS Contracts)
- b. **Mini-Bid Project Definition** if applicable and in accordance with the terms and conditions of the Back-Drop Contract.
- c. **Contract and other writing(s)** setting forth the final agreements, clarifications and terms between the Bid Documents and Contractor's Bid. In the latter circumstance, clarifications must specifically note in writing what was offered by the Contractor and what was accepted by the State. If not, such clarifications shall be considered last in the order of precedence under this paragraph.
- d. **Bid Documents** (Other than Appendix A).
  - i. Bid Specifications prepared by the Authorized User.
  - ii. Appendix B (General Specifications).
  - iii. Incorporated Contract Appendices, if any, following the order of precedence as stated for Contract above.
- e. **Contractor's Bid or Mini-Bid Proposal**.
- f. **Unincorporated Appendices** (if any).

5. **DEFINITIONS** Terms used in this Appendix B shall have the following meanings:

**AFFILIATE** Any individual or other legal entity, (including but not limited to sole proprietor, partnership, limited liability company, firm or corporation) that effectively controls another company in which (a) the Bidder owns more than 50% of the ownership; or (b) any individual or other legal entity which owns more than 50% of the ownership of the Bidder. In addition, if a Bidder owns less than 50% of the ownership of another legal entity, but directs or has the right to direct such entity's daily operations, that entity will be an Affiliate.

**AGENCY OR AGENCIES** The State of New York, acting by or through one or more departments, boards, commissions, offices or institutions of the State of New York.

**ATTORNEY GENERAL** Attorney General of the State of New York.

**AUTHORIZED USER(S)** Agencies, or any other entity authorized by the laws of the State of New York to participate in NYS centralized contracts (including but not limited to political subdivisions, public authorities, public benefit corporations and certain other entities set forth in law), or the State of New York acting on behalf of one or more such Agencies or other entities, provided that each such Agency or other entity shall be held solely responsible for liabilities or payments due as a result of its participation.

**BID OR BID PROPOSAL** An offer or proposal submitted by a Bidder to furnish a described product or a solution, perform services or means of achieving a practical end, at a stated price for the stated Contract term. As required by the Bid Documents, the Bid or proposal may be subject to modification through the solicitation by the Agency of best and final offers during the evaluation process prior to recommendation for award of the Contract.

**BIDDER/OFFERER** Any individual or other legal entity (including but not limited to sole proprietor, partnership, limited liability company, firm or corporation) which submits a Bid in response to a Bid Solicitation. The term Bidder shall also include the term "offeror." In the case of negotiated Contracts, "Bidder" shall refer to the "Contractor."

**BID DOCUMENTS** Writings by the State setting forth the scope, terms, conditions and technical specifications for a procurement of Product. Such writings typically include, but are not limited to: Invitation for Bids (IFB), Request for Quotation (RFQ), Request for Proposals (RFP), addenda or amendments thereto, and terms and conditions which are incorporated by reference, including but not limited to, Appendix A (Standard Clauses for NYS Contracts), Appendix B, (General Specifications). Where these General Specifications are incorporated in negotiated Contracts that have not been competitively Bid, the term "Bid Documents" shall be deemed to refer to the terms and conditions set forth in the negotiated Contract and associated documentation.

**BID SPECIFICATION** A written description drafted by the Authorized User setting forth the specific terms of the intended procurement, which may include: physical or functional characteristics, the nature of a commodity or construction item, any description of the work to be performed, Products to be provided, the necessary qualifications of the Bidder, the capacity and capability of the Bidder to successfully carry out the proposed Contract, or the process for achieving specific results and/or anticipated outcomes or any other requirement necessary to perform work. Where these General Specifications are incorporated in negotiated Contracts that have not been competitively Bid, the term "Bid Specifications" shall be deemed to refer to the terms and conditions set forth in the negotiated Contract and associated documentation.

**COMMISSIONER** Commissioner of DOCCS, or in the case of Bid Specifications issued by an Authorized User, the head of such Authorized User or their authorized representative.

**COMPTROLLER** Comptroller of the State of New York.

**CONTRACT** The writing(s) which contain the agreement of the Commissioner and the Bidder/Contractor setting forth the total legal obligation between the parties as determined by applicable rules of law, and which most typically include the following classifications of public procurements:

**a. Agency Specific Contracts** Contracts where the specifications for a Product or a particular scope of work are described and defined to meet the needs of one or more Authorized User(s).

**b. Piggyback Contract** A Contract let by any department, agency or instrumentality of the United States government, or any department, agency, office, political subdivision or instrumentality of any state or state(s) which is adopted and extended for use by the DOCCS Commissioner in accordance with the requirements of the State Finance Law.

**c. Contract Letter** A letter to the successful Bidder(s) indicating acceptance of its Bid in response to a solicitation. Unless otherwise specified, the issuance of a Letter of Acceptance forms a Contract but is not an order for Product, and Contractor should not take any action with respect to actual Contract deliveries except on the basis of Purchase Orders sent from Authorized User(s).

**CONTRACT AWARD NOTIFICATION** An announcement to Authorized Users that a Contract has been established.

**CONTRACTOR** Any successful Bidder(s) to whom a Contract has been awarded by the Commissioner.

**DOCUMENTATION** The complete set of manuals (e.g., user, installation, instruction or diagnostic manuals) in either hard or electronic copy, which are necessary to enable an Authorized User to properly test, install, operate and enjoy full use of the Product.

**EMERGENCY** An urgent and unexpected requirement where health and public safety or the conservation of public resources is at risk.

**ENTERPRISE** The total business operations in the United States of Authorized User (s) without regard to geographic location where such operations are performed or the entity actually performing such operations on behalf of Authorized User.

**ENTERPRISE LICENSE** A license grant of unlimited rights to deploy, access, use and execute Product anywhere within the Enterprise up to the maximum capacity stated on the Purchase Order or in the Contract.

**ERROR CORRECTIONS** Machine executable software code furnished by Contractor which corrects the Product so as to conform to the applicable warranties, performance standards and/or obligations of the Contractor.

**INVITATION FOR BIDS (IFB)** A type of Bid Document which is most typically used where requirements can be stated and award will be made based on lowest price to the responsive and responsible Bidder(s).

**LICENSED SOFTWARE** Software transferred upon the terms and conditions set forth in the Contract. "Licensed Software" includes error corrections, upgrades, enhancements or new releases, and any deliverables due under a maintenance or service contract (e.g., patches, fixes, PTFs, programs, code or data conversion, or custom programming).

**LICENSEE** One or more Authorized Users who acquire Product from Contractor by issuing a Purchase Order in accordance with the terms and conditions of the Contract; provided that, for purposes of compliance with an individual license, the term "Licensee" shall be deemed to refer separately to the individual Authorized User(s) who took receipt of and who is executing the Product, and who shall be solely responsible for performance and liabilities incurred. In the case

of acquisitions by State Agencies, the Licensee shall be the State of New York.

**LICENSE EFFECTIVE DATE** The date Product is delivered to an Authorized User. Where a License involves Licensee's right to copy a previously licensed and delivered Master Copy of a Program, the license effective date for additional copies shall be deemed to be the date on which the Purchase Order is executed.

**LICENSOR** A Contractor who transfers rights in proprietary Product to Authorized Users in accordance with the rights and obligations specified in the Contract.

**MINI-BID PROJECT DEFINITION** A Bid Document containing project specific Bid Specifications developed by or for an Authorized User which solicits Bids from Contractors previously qualified under a Back-Drop Contract.

**MULTIPLE AWARD** A determination and award of a Contract in the discretion of the Commissioner to more than one responsive and responsible Bidder who meets the requirements of a specification, where the multiple award is made on the grounds set forth in the Bid Document in order to satisfy multiple factors and needs of Authorized Users (e.g., complexity of items, various manufacturers, differences in performance required to accomplish or produce required end results, production and distribution facilities, price, compliance with delivery requirements, geographic location or other pertinent factors).

**NEW PRODUCT RELEASES (Product Revisions)** Any commercially released revisions to the licensed version of a Product as may be generally offered and available to Authorized Users. New releases involve a substantial revision of functionality from a previously released version of the Product.

**PROCUREMENT RECORD** Documentation by the Authorized User of the decisions made and approach taken during the procurement process and during the contract term.

**PRODUCT** A deliverable under any Bid or Contract which may include commodities, services and/or technology. The term "Product" includes Licensed Software.

**PROPRIETARY** Protected by secrecy, patent, copyright or trademark against commercial competition.

**PURCHASE ORDER** The Authorized User's fiscal form or format that is used when making a purchase (e.g., formal written Purchase Order, Procurement Card, electronic Purchase Order, or other authorized instrument).

**REQUEST FOR PROPOSALS (RFP)** A type of Bid Document that is used for procurements where factors in addition to cost are considered and weighted in awarding the contract and where the method of award is "best value," as defined by the State Finance Law.

**REQUEST FOR QUOTATION (RFQ)** A type of Bid Document that can be used when a formal Bid opening is not required (e.g., discretionary, sole source, single source or emergency purchases).

**RESPONSIBLE BIDDER** A Bidder that is determined to have financial and organizational capacity, legal authority, satisfactory previous performance, skill, judgment and integrity, and that is found to be competent, reliable and experienced, as determined by the Commissioner. For purposes of being deemed responsible, a Bidder must also be determined to be in compliance with Sections 139-j and 139-k of the State Finance Law relative to restrictions on contacts

during the procurement process and disclosure of contacts and prior findings of non-responsibility under these statutes.

**RESPONSIVE BIDDER** A Bidder meeting the specifications or requirements prescribed in the Bid Document or solicitation, as determined by the Commissioner.

**SINGLE SOURCE** A procurement where two or more Bidders can supply the required Product, and the Commissioner may award the contract to one Bidder over the other.

**SITE** The location (street address) where Product will be executed or services delivered.

**SOLE SOURCE** A procurement where only one Bidder is capable of supplying the required Product.

**SOURCE CODE** The programming statements or instructions written and expressed in any language understandable by a human being skilled in the art which are translated by a language compiler to produce executable machine Object Code.

**STATE** State of New York.

**SUBCONTRACTOR** Any individual or other legal entity, (including but not limited to sole proprietor, partnership, limited liability company, firm or corporation) who has entered into a contract, express or implied, for the performance of a portion of a Contract with a Contractor.

**TERMS OF LICENSE** The terms and conditions set forth in the Contract that are in effect and applicable to a Purchase Order at the time of order placement.

**VIRUS** Any computer code, whether or not written or conceived by Contractor, that disrupts, disables, harms, or otherwise impedes in any manner the operation of the Product, or any other associated software, firmware, hardware, or computer system (such as local area or wide-area networks), including aesthetic disruptions or distortions, but does not include security keys or other such devices installed by Product manufacturer.

## **BID SUBMISSION**

**6. INTERNATIONAL BIDDING** All offers (tenders), and all information and Product required by the solicitation or provided as explanation thereof, shall be submitted in English. All prices shall be expressed, and all payments shall be made, in United States Dollars (\$US). Any offers (tenders) submitted which do not meet the above criteria will be rejected.

**7. BID OPENING** Bids may, as applicable, be opened publicly. The Commissioner reserves the right at any time to postpone or cancel a scheduled Bid opening.

**8. BID SUBMISSION** All Bids are to be packaged, sealed and submitted to the location stated in the Bid Specifications. Bidders are solely responsible for timely delivery of their Bids to the location set forth in the Bid Specifications prior to the stated Bid opening date/time.

A Bid return envelope, if provided with the Bid Specifications, should be used with the Bid sealed inside. If the Bid response does not fit into the envelope, the Bid envelope should be attached to the outside of the sealed box or package with the Bid inside. If using a commercial

delivery company that requires use of their shipping package or envelope, Bidder's sealed Bid, labeled as detailed below, should be placed within the shipper's sealed envelope to ensure that the Bid is not prematurely opened.

All Bids must have a label on the outside of the package or shipping container outlining the following information:

**"BID ENCLOSED** (bold print, all capitals)

- Group Number
- IFB or RFP Number
- Bid Submission date and time"

In the event that a Bidder fails to provide such information on the return Bid envelope or shipping material, the receiving entity reserves the right to open the shipping package or envelope to determine the proper Bid number or Product group, and the date and time of Bid opening. Bidder shall have no claim against the receiving entity arising from such opening and such opening shall not affect the validity of the Bid or the procurement.

Notwithstanding the receiving agency's right to open a Bid to ascertain the foregoing information, Bidder assumes all risk of late delivery associated with the Bid not being identified, packaged or labeled in accordance with the foregoing requirements.

All Bids must be signed by a person authorized to commit the Bidder to the terms of the Bid Documents and the content of the Bid (offer).

**9. FACSIMILE SUBMISSIONS** Unless specifically prohibited by the terms of the Bid Specifications, facsimile Bids may be SUBMITTED AT THE SOLE OPTION AND RISK OF THE BIDDER. Only the FAX number(s) indicated in the Bid Specifications may be used. Access to the facsimile machine(s) is on a "first come, first serve" basis, and the Commissioner bears no liability or responsibility and makes no guarantee whatsoever with respect to the Bidder's access to such equipment at any specific time. Bidders are solely responsible for submission and receipt of the entire facsimile Bid by the Authorized User prior to Bid opening and must include on the first page of the transmission the total number of pages transmitted in the facsimile, including the cover page. Incomplete, ambiguous or unreadable transmissions in whole or in part may be rejected at the sole discretion of the Commissioner. Facsimile Bids are fully governed by all conditions outlined in the Bid Documents and must be submitted on forms or in the format required in the Bid Specifications, including the executed signature page and acknowledgment.

**10. AUTHENTICATION OF FACSIMILE BIDS** The act of submitting a Bid by facsimile transmission, including an executed signature page or as otherwise specified in the Bid Documents, shall be deemed a confirming act by Bidder which authenticates the signing of the Bid.

**11. LATE BIDS** For purposes of Bid openings held and conducted by DOCCS, a Bid must be received in such place as may be designated in the Bid Documents.

Any Bid received at the specified location after the time specified will be considered a late Bid. A late Bid shall not be considered for award unless: (i) no timely Bids meeting the requirements of the Bid Documents are received or, (ii) in the case of a multiple award, an insufficient number of timely Bids were received to satisfy the multiple award; and acceptance of the late Bid is in the best interests of the Authorized Users. Delays in United States mail deliveries or any other means of transmittal, including couriers or agents of the



Authorized User shall not excuse late Bid submissions. Similar types of delays, including but not limited to, bad weather, or security procedures for parking and building admittance shall not excuse late Bid submissions. Determinations relative to Bid timeliness shall be at the sole discretion of the Commissioner.

**12. BID CONTENTS** Bids must be complete and legible. All Bids must be signed. All information required by the Bid Specifications must be supplied by the Bidder on the forms or in the format specified. No alteration, erasure or addition is to be made to the Bid Documents. Changes may be ignored by the Commissioner or may be grounds for rejection of the Bid. Changes, corrections and/or use of white-out in the Bid or Bidder's response portion of the Bid Document must be initialed by an authorized representative of the Bidder. Bidders are cautioned to verify their Bids before submission, as amendments to Bids or requests for withdrawal of Bids received by the Commissioner after the time specified for the Bid opening, may not be considered.

**13. EXTRANEOUS TERMS** Bids must conform to the terms set forth in the Bid Documents, as extraneous terms or material deviations (including additional, inconsistent, conflicting or alternative terms) may render the Bid non-responsive and may result in rejection of the Bid.

Extraneous term(s) submitted on standard, pre-printed forms (including but not limited to: product literature, order forms, license agreements, contracts or other documents) that are attached or referenced with submissions shall not be considered part of the Bid or resulting Contract, but shall be deemed included for informational or promotional purposes only.

Only those extraneous terms that meet all the following requirements may be considered as having been submitted as part of the Bid:

- a. Each proposed extraneous term (addition, deletion, counter-offer, deviation, or modification) must be specifically enumerated in a writing which is not part of a pre-printed form; and
- b. The writing must identify the particular specification requirement (if any) that Bidder rejects or proposes to modify by inclusion of the extraneous term; and
- c. The Bidder shall enumerate the proposed addition, counter offer, modification or deviation from the Bid Document, and the reasons therefore.

No extraneous term(s), whether or not deemed "material," shall be incorporated into a Contract or Purchase Order unless submitted in accordance with the above and the Commissioner or Authorized User expressly accepts each such term(s) in writing. Acceptance and/or processing of the Bid shall not constitute such written acceptance of Extraneous Term(s).

**14. CONFIDENTIAL/TRADE SECRET MATERIALS**

a. **Contractor** Confidential, trade secret or proprietary materials as defined by the laws of the State of New York must be clearly marked and identified as such upon submission by the Bidder. Marking the Bid as "confidential" or "proprietary" on its face or in the document header or footer shall not be considered by the Commissioner or Authorized User to be sufficient without specific justification as to why disclosure of particular information in the Bid would cause substantial injury to the competitive position of the Bidder. Bidders/Contractors intending to seek an exemption from disclosure of these materials under the Freedom of Information Law must request the exemption in writing, setting forth the reasons for the claimed exemption. Acceptance of the claimed materials does not constitute a

determination on the exemption request, which determination will be made in accordance with statutory procedures. Properly identified information that has been designated confidential, trade secret, or proprietary by the Bidder will not be disclosed except as may be required by the Freedom of Information Law or other applicable State and federal laws.

b. **Commissioner or Authorized User** Contractor further warrants, covenants and represents that any confidential information obtained by Contractor, its agents, Subcontractors, officers, distributors, resellers or employees in the course of performing its obligations, including without limitation, security procedures, business operations information, or commercial proprietary information in the possession of the State or any Authorized User hereunder or received from another third party, will not be divulged to any third parties. Contractor shall not be required to keep confidential any such material that is publicly available through no fault of Contractor, independently developed by Contractor without reliance on confidential information of the Authorized User, or otherwise obtained under the Freedom of Information Act or other applicable New York State laws and regulations. This warranty shall survive termination of this Contract. Contractor further agrees to take appropriate steps as to its agents, Subcontractors, officers, distributors, resellers or employees regarding the obligations arising under this clause to insure such confidentiality.

**15. RELEASE OF BID EVALUATION MATERIALS** Requests concerning the evaluation of Bids may be submitted under the Freedom of Information Law. Information, other than statistical or factual tabulations or data such as the Bid Tabulation, shall only be released as required by law after Contract award. Bid Tabulations are not maintained for all procurements. Names of Bidders may be disclosed after Bid opening upon request. Written requests should be directed to the Commissioner.

**16. FREEDOM OF INFORMATION LAW** During the evaluation process, the content of each Bid will be held in confidence and details of any Bid will not be revealed (except as may be required under the Freedom of Information Law or other State law). The Freedom of Information Law provides for an exemption from disclosure for trade secrets or information the disclosure of which would cause injury to the competitive position of commercial enterprises. This exception would be effective both during and after the evaluation process. If the Bid contains any such trade secret or other confidential or proprietary information, it must be accompanied in the Bid with a written request to the Commissioner to not disclose such information. Such request must state with particularity the reasons why the information should not be available for disclosure and must be provided at the time of submission of the Bid. Notations in the header, footer or watermark of the Bid Document will not be considered sufficient to constitute a request for non-disclosure of trade secret or other confidential or proprietary information. Where a Freedom of Information request is made for trademark or other confidential or proprietary information, the Commissioner reserves the right to determine upon written notice to the Bidder whether such information qualifies for the exemption for disclosure under the law. Notwithstanding the above, where a Bid tabulation is prepared and Bids publicly opened, such Bid tabulation shall be available upon request.

**17. PREVAILING WAGE RATES - PUBLIC WORKS AND BUILDING SERVICES CONTRACTS** If any portion of work being Bid is subject to the prevailing wage rate provisions of the Labor Law, the following shall apply:

a. **"Public Works" and "Building Services" - Definitions**

i. **Public Works** Labor Law Article 8 applies to contracts for public improvement in which laborers, workers or mechanics are

employed on a "public works" project (distinguished from public "procurement" or "service" contracts). The State, a public benefit corporation, a municipal corporation (including a school district), or a commission appointed by law must be a party to the Contract. The wage and hours provision applies to any work performed by Contractor or Subcontractors.

**ii. Building Services** Labor Law Article 9 applies to Contracts for building service work over ~~REDACTED~~ with a public agency, that: (i) involve the care or maintenance of an existing building, or (ii) involve the transportation of office furniture or equipment to or from such building, or (iii) involve the transportation and delivery of fossil fuel to such building, and (iv) the principal purpose of which is to furnish services through use of building service employees.

**b. Prevailing Wage Rate Applicable to Bid Submissions** A copy of the applicable prevailing wage rates to be paid or provided are annexed to the Bid Documents. Bidders must submit Bids which are based upon the prevailing hourly wages, and supplements in cash or equivalent benefits (i.e., fringe benefits and any cash or non-cash compensation which are not wages, as defined by law) that equal or exceed the applicable prevailing wage rate(s) for the location where the work is to be performed. Bidders may not submit Bids based upon hourly wage rates and supplements below the applicable prevailing wage rates as established by the New York State Department of Labor. Bids that fail to comply with this requirement will be disqualified.

**c. Wage Rate Payments / Changes During Contract Term** The wages to be paid under any resulting Contract shall not be less than the prevailing rate of wages and supplements as set forth by law. It is required that the Contractor keep informed of all changes in the Prevailing Wage Rates during the Contract term that apply to the classes of individuals supplied by the Contractor on any projects resulting from this Contract, subject to the provisions of the Labor Law. Contractor is solely liable for and must pay such required prevailing wage adjustments during the Contract term as required by law.

**d. Public Posting & Certified Payroll Records** In compliance with Article 8, Section 220 of the New York State Labor Law:

**i. Posting** The Contractor must publicly post on the work site, in a prominent and accessible place, a legible schedule of the prevailing wage rates and supplements.

**ii. Payroll Records** Contractors and Subcontractors must keep original payrolls or transcripts subscribed and affirmed as true under the penalties of perjury as required by law. For public works contracts over \$25,000 where the Contractor maintains no regular place of business in New York State, such records must be kept at the work site. For building services contracts, such records must be kept at the work site while work is being performed.

**iii. Submission of Certified Payroll Transcripts for Public Works Contracts Only** Contractors and Subcontractors on public works projects must submit monthly payroll transcripts to the Authorized User that has prepared or directs the preparation of the plans and specifications for a public works project, as set forth in the Bid Specifications. For "agency specific" Bids, the payroll records should be submitted to the entity issuing the purchase order. Upon mutual agreement of the Contractor and the Authorized User, the form of submission may be submitted in a specified disk format acceptable to the Department of Labor provided: 1) the Contractor/Subcontractor retains the original records; and, (2) an original signed letter by a duly authorized individual of the Contractor or Subcontractor attesting to the truth and accuracy of the records accompanies the disk. This

provision does not apply to Article 9 of the Labor Law building services contracts.

**iv. Records Retention** Contractors and Subcontractors must preserve such certified transcripts for a period of three years from the date of completion of work on the awarded contract.

**Day's Labor** Eight hours shall constitute a legal day's work for all classes of employees in this state except those engaged in farm and domestic service unless otherwise provided by law.

No laborers, workmen or mechanics in the employ of the Contractor, Subcontractor or other person doing or contracting to do all or part of the work contemplated by the Contract shall be permitted or required to work more than eight hours in any one calendar day or more than five calendar days in any one week except in cases of extraordinary emergency including fire, flood or danger to life or property. "Extraordinary emergency" shall be deemed to include situations in which sufficient laborers, workers and mechanics cannot be employed to carry on public work expeditiously as a result of such restrictions upon the number of hours and days of labor and the immediate commencement or prosecution or completion without undue delay of the public work is necessary in the judgment of the NYS Commissioner of Labor for the preservation of the Contract site or for the protection of the life and limb of the persons using the Contract site.

## 18. TAXES

a. Unless otherwise specified in the Bid Specifications or Contract, the quoted Bid price includes all taxes applicable to the transaction.

b. Purchases made by the State of New York and certain non-State Authorized Users are exempt from New York State and local sales taxes and, with certain exceptions, federal excise taxes. To satisfy the requirements of the New York State Sales tax exemption, either the Purchase Order issued by a State Agency or the invoice forwarded to authorize payment for such purchases will be sufficient evidence that the sale by the Contractor was made to the State, an exempt organization under Section 1116 (a) (1) of the Tax Law. Non-State Authorized Users must offer their own proof of exemption upon request. No person, firm or corporation is, however, exempt from paying the State Truck Mileage and Unemployment Insurance or Federal Social Security taxes, which remain the sole responsibility of the Bidder/Contractor.

c. Pursuant to Revised Tax Law 5-a, Contractor will be required to furnish sales tax certification on its behalf and for its affiliates, and subcontractors for Contracts with a value greater than \$100,000 in accordance with provisions of the law.

d. Purchases by Authorized Users other than the State of New York may be subject to certain taxes which were not included in the Bid price, and in those instances the tax should be computed based on the Contract price and added to the invoice submitted to such entity for payment.

**19. EXPENSES PRIOR TO CONTRACT EXECUTION** The Commissioner and any Authorized User(s) are not liable for any costs incurred by a Vendor, Bidder or Contractor in the preparation and production of a Bid, Mini-Bid or best and final offers or for any work performed prior to Contract execution.

**20. ADVERTISING RESULTS** The prior written approval of the Commissioner is required in order for results of the Bid to be used by the Contractor as part of any commercial advertising. The Contractor

shall also obtain the prior written approval of the Commissioner relative to the Bid or Contract for press or other media releases.

## 21. PRODUCT REFERENCES

a. **“Or Equal”** In all Bid Specifications the words “or equal” are understood to apply where a copyrighted, brand name, trade name, catalog reference, or patented Product is referenced. References to such specific Product are intended as descriptive, not restrictive, unless otherwise stated. Comparable Product will be considered if proof of compatibility is provided, including appropriate catalog excerpts, descriptive literature, specifications and test data, etc. The Commissioner’s decision as to acceptance of the Product as equal shall be final.

b. **Discrepancies in References** In the event of a discrepancy between the model number referenced in the Bid Specifications and the written description of the Products which cannot be reconciled, with respect to such discrepancy, then the written description shall prevail.

22. **REMANUFACTURED, RECYCLED, RECYCLABLE OR RECOVERED MATERIALS** Upon the conditions specified in the Bid Specifications and in accordance with the laws of the State of New York, Contractors are encouraged to use recycled, recyclable or recovered materials in the manufacture of Products and packaging to the maximum extent practicable without jeopardizing the performance or intended end use of the Product or packaging unless such use is precluded due to health, welfare, safety requirements or in the Bid Specifications. Contractors are further encouraged to offer remanufactured Products to the maximum extent practicable without jeopardizing the performance or intended end use of the Product and unless such use is precluded due to health, welfare, safety requirements or by the Bid Specifications. Where such use is not practical, suitable, or permitted by the Bid Specifications, Contractor shall deliver new materials in accordance with the “Warranties” set forth below.

Items with recycled, recyclable, recovered, refurbished or remanufactured content must be identified in the Bid or Bidder will be deemed to be offering new Product.

23. **PRODUCTS MANUFACTURED IN PUBLIC INSTITUTIONS** Bids offering Products that are manufactured or produced in public institutions will be rejected.

## 24. PRICING

a. **Unit Pricing** If required by the Bid Specifications, the Bidder should insert the price per unit specified and the price extensions in decimals, not to exceed four places for each item unless otherwise specified, in the Bid. In the event of a discrepancy between the unit price and the extension, the unit price shall govern unless, in the sole judgment of the Commissioner, such unit pricing is obviously erroneous.

b. **Net Pricing** Unless otherwise required by the Bid Specifications, prices shall be net, including transportation, customs, tariff, delivery and other charges fully prepaid by the Contractor to the destination(s) indicated in the Bid Specifications, subject to the cash discount.

c. **“No Charge” Bid** When Bids are requested on a number of Products as a Group or Lot, a Bidder desiring to Bid “no charge” on a Product in the Group or Lot must clearly indicate such. Otherwise, such Bid may be considered incomplete and be rejected, in whole or in part, at the discretion of the Commissioner.

d. **Educational Pricing** All Products to be supplied for educational purposes that are subject to educational discounts shall be identified in the Bid and such discounts shall be made available to qualifying institutions.

e. **Third Party Financing** If Product acquisitions are financed through any third party financing, Contractor may be required as a condition of Contract Award to agree to the terms and conditions of a “Consent & Acknowledgment Agreement” in a form acceptable to the Commissioner.

f. **Best Pricing Offer** During the Contract term, if substantially the same or a smaller quantity of a Product is sold by the Contractor outside of this Contract upon the same or similar terms and conditions as that of this Contract at a lower price to a federal, state or local governmental entity, the price under this Contract, at the discretion of the Commissioner, shall be immediately reduced to the lower price.

Price decreases shall take effect automatically during the Contract term and apply to Purchase Orders submitted on or after:

(i) **GSA Changes**: Where NYS Net Prices are based on an approved GSA Schedule, the date the approved GSA Schedule pricing decreases during the Contract term; or

(ii) **Commercial Price List Reductions**: Where NYS Net Prices are based on a discount from Contractor’s list prices, the date Contractor lowers its pricing to its customers generally or to similarly situated government customers during the Contract term; or

(iii) **Special Offers/Promotions Generally**: Where Contractor generally offers more advantageous special price promotions or special discount pricing to other customers during the Contract term for a similar quantity, and the maximum price or discount associated with such offer or promotion is better than the discount or Net Price otherwise available under this Contract, such better price or discount shall apply for similar quantity transactions under this Contract for the life of such general offer or promotion; and

(iv) **Special Offers/Promotions to Authorized Users**: Contractor may offer Authorized Users, under either this Contract or any other Contracting vehicle, competitive pricing which is lower than the NYS Net Price set forth herein at any time during the Contract term and such lower pricing shall not be applied as a global price reduction under the Contract pursuant to the foregoing paragraph (iii).

Unless otherwise specified in the Bid Specifications, Contractor may offer lower prices or better terms (see Modification of Contract Terms) on any specific Purchase Order(s) from any Authorized User without being in conflict with, or obligation to comply on a global basis, with the terms of this clause.

g. **Best and Final Prices** As specified in the Bid Documents and Contract, a Contractor may be solicited at the time of issuance of a Purchase Order or Mini-Bid award for best and final pricing for the Product or service to be delivered to the Authorized User. Contractors are encouraged to reduce their pricing upon receipt of such request.

## 25. DRAWINGS

a. **Drawings Submitted With Bid** When the Bid Specifications require the Bidder to furnish drawings and/or plans, such drawings and/or plans shall conform to the mandates of the Bid Documents and shall, when approved by the Commissioner, be considered a part of the Bid and of any resulting Contract. All symbols and other representations appearing on the drawings shall be considered a part of the drawing.

b. **Drawings Submitted During the Contract Term** Where required to develop, maintain and deliver diagrams or other technical schematics regarding the scope of work, Contractor shall do so on an

ongoing basis at no additional charge, and must, as a condition of payment, update drawings and plans during the Contract term to reflect additions, alterations, and deletions. Such drawings and diagrams shall be delivered to the Authorized User's representative.

**c. Accuracy of Drawings Submitted** All drawings shall be neat and professional in manner and shall be clearly labeled as to locations and type of product, connections and components. Drawings and diagrams are to be in compliance with accepted drafting standards. Acceptance or approval of such plans shall not relieve the Contractor from responsibility for design or other errors of any sort in the drawings or plans, or from its responsibility for performing as required, furnishing product, services or installation, or carrying out any other requirements of the intended scope of work.

**26. SITE INSPECTION** Where a site inspection is required by the Bid Specifications or Project Definition, Bidder shall be required to inspect the site, including environmental or other conditions for pre-existing deficiencies that may affect the installed Product, equipment, or environment or services to be provided and, which may affect Bidder's ability to properly deliver, install or otherwise provide the required Product. All inquiries regarding such conditions shall be made in writing. Bidder shall be deemed to have knowledge of any deficiencies or conditions which such inspection or inquiry might have disclosed. Bidder must provide a detailed explanation with its Bid if additional work is required under this clause in order to properly complete the delivery and installation of the required Product or provide the requested service.

**27. PROCUREMENT CARD** The State has entered into an agreement for purchasing card services. The Purchasing Card enables Authorized Users to make authorized purchases directly from a Contractor without processing a Purchase Orders or Purchase Authorizations. Purchasing Cards are issued to selected employees authorized to purchase for the Authorized User and having direct contact with Contractors. Cardholders can make purchases directly from any Contractor that accepts the Purchasing Card.

The Contractor shall not process a transaction for payment through the credit card clearinghouse until the purchased products have been shipped or services performed. Unless the cardholder requests correction or replacement of a defective or faulty Product in accordance with other Contract requirements, the Contractor shall immediately credit a cardholder's account for products returned as defective or faulty.

## **28. SAMPLES**

**a. Standard Samples** Bid Specifications may indicate that the Product to be purchased must be equal to a standard sample on display in a place designated by the Commissioner and such sample will be made available to the Bidder for examination prior to the opening date. Failure by the Bidder to examine such sample shall not entitle the Bidder to any relief from the conditions imposed by the Bid Specifications.

**b. Bidder Supplied Samples** The Commissioner reserves the right to request from the Bidder/Contractor a representative sample(s) of the Product offered at any time prior to or after award of a contract. Unless otherwise instructed, samples shall be furnished within the time specified in the request. Untimely submission of a sample may constitute grounds for rejection of Bid or cancellation of the Contract. Samples must be submitted free of charge and be accompanied by the Bidder's name and address, any descriptive literature relating to the Product and a statement indicating how and where the sample is to be returned. Where applicable, samples must be properly labeled with the appropriate Bid or Contract reference.

A sample may be held by the Commissioner during the entire term of the Contract and for a reasonable period thereafter for comparison with deliveries. At the conclusion of the holding period the sample, where feasible, will be returned as instructed by the Bidder, at the Bidder's expense and risk. Where the Bidder has failed to fully instruct the Commissioner as to the return of the sample (i.e., mode and place of return, etc.) or refuses to bear the cost of its return, the sample shall become the sole property of the receiving entity at the conclusion of the holding period.

**c. Enhanced Samples** When an approved sample exceeds the minimum specifications, all Product delivered must be of the same enhanced quality and identity as the sample. Thereafter, in the event of a Contractor's default, the Commissioner may procure a Product substantially equal to the enhanced sample from other sources, charging the Contractor for any additional costs incurred.

**d. Conformance with Sample(s)** Submission of a sample (whether or not such sample is tested by, or for, the Commissioner) and approval thereof shall not relieve the Contractor from full compliance with all terms and conditions, performance related and otherwise, specified in the Bid Specifications. If in the judgment of the Commissioner the sample or product submitted is not in accordance with the specifications or testing requirements prescribed in the Bid Specifications, the Commissioner may reject the Bid. If an award has been made, the Commissioner may cancel the Contract at the expense of the Contractor.

**e. Testing** All samples are subject to tests in the manner and place designated by the Commissioner, either prior to or after Contract award. Unless otherwise stated in the Bid Specifications, Bidder samples consumed or rendered useless by testing will not be returned to the Bidder. Testing costs for samples that fails to meet Contract requirements may be at the expense of the Contractor.

**f. Requests For Samples By Authorized Users** Requests for samples by Authorized Users require the consent of the Contractor. Where Contractor refuses to furnish a sample, Authorized User may, in its sole discretion, make a determination on the performance capability of the Product or on the issue in question.

## **BID EVALUATION**

**29. BID EVALUATION** The Commissioner reserves the right to accept or reject any and all Bids, or separable portions of offers, and waive technicalities, irregularities, and omissions if the Commissioner determines the best interests of the State will be served. The Commissioner, in his/her sole discretion, may accept or reject illegible, incomplete or vague Bids and his/her decision shall be final. A conditional or revocable Bid which clearly communicates the terms or limitations of acceptance may be considered, and Contract award may be made in compliance with the Bidder's conditional or revocable terms in the offer.

**30. CONDITIONAL BID** Unless the Bid Specifications provides otherwise, a Bid is not rendered non-responsive if the Bidder specifies that the award will be accepted only on all or a specified group of items or Product included in the specification. It is understood that nothing herein shall be deemed to change or alter the method of award contained in the Bid Documents.

**31. CLARIFICATIONS / REVISIONS** Prior to award, the Commissioner reserves the right to seek clarifications, request Bid revisions, or to request any information deemed necessary for proper



evaluation of Bids from all Bidders deemed to be eligible for Contract award. Failure to provide requested information may result in rejection of the Bid.

**32. PROMPT PAYMENT DISCOUNTS** While prompt payment discounts will not be considered in determining the low Bid, the Commissioner may consider any prompt payment discount in resolving Bids which are otherwise tied. However, any notation indicating that the price is net, (e.g., net 30 days), shall be understood to mean only that no prompt payment discount is offered by the Bidder. The imposition of service, interest, or other charges, except pursuant to the provisions of Article 11-A of the State Finance Law, which are applicable in any case, may render the Bid non-responsive and may be cause for its rejection.

**33. EQUIVALENT OR IDENTICAL BIDS** In the event two offers are found to be substantially equivalent, price shall be the basis for determining the award recipient. If two or more Bidders submit substantially equivalent Bids as to pricing or other factors, the decision of the Commissioner to award a Contract to one or more of such Bidders shall be final.

**34. PERFORMANCE AND RESPONSIBILITY QUALIFICATIONS** The Commissioner reserves the right to investigate or inspect at any time whether or not the Product, services, qualifications or facilities offered by the Bidder/Contractor meet the requirements set forth in the Bid Specifications/Contract or as set forth during Contract negotiations. Contractor shall at all times during the Contract term remain responsible and responsive. A Bidder/Contractor must be prepared, if requested by the Commissioner, to present evidence of legal authority to do business in New York State, integrity, experience, ability, prior performance, organizational and financial capacity as well as where applicable, a statement as to supply, plant, machinery and capacity of the manufacturer or source for the production, distribution and servicing of the Product offered/Bid. If the Commissioner determines that the conditions and terms of the Bid Documents, Bid Specifications or Contract are not complied with, or that items, services or Product proposed to be furnished do not meet the specified requirements, or that the legal authority, integrity experience, ability, prior performance, organization and financial capacity or facilities are not satisfactory, the Commissioner may reject such Bid or terminate the Contract.

**35. DISQUALIFICATION FOR PAST PERFORMANCE AND FINDINGS OF NON-RESPONSIBILITY** Bidder may be disqualified from receiving awards if Bidder, or anyone in Bidder's employment, has previously failed to perform satisfactorily in connection with public Bidding or contracts or is deemed non-responsive.

**36. QUANTITY CHANGES PRIOR TO AWARD** The Commissioner reserves the right, at any time prior to the award of a specific quantity Contract, to alter in good faith the quantities listed in the Bid Specifications. In the event such right is exercised, the lowest responsible Bidder meeting Bid Specifications will be advised of the revised quantities and afforded an opportunity to extend or reduce its Bid price in relation to the changed quantities. Refusal by the low Bidder to so extend or reduce its Bid price may result in the rejection of its Bid and the award of such Contract to the lowest responsible Bidder who accepts the revised qualifications.

**37. TIMEFRAME FOR OFFERS** The Commissioner reserves the right to make awards within sixty (60) days after the date of the Bid opening or such other period of time as set forth in the Bid Documents, during which period, Bids must remain firm and cannot be withdrawn.

Pursuant to Section 163(9)(e) of the State Finance Law and Section 2-205 of the Uniform Commercial Code when applicable, where an award is not made within the sixty (60) day period or other time specified as set forth in the Bid Documents, the Bids shall remain firm until such later time as either a Contract is awarded or the Bidder delivers to the Commissioner written notice of the withdrawal of its Bid. Any Bid which expressly states therein that acceptance must be made within a shorter specified time, may at the sole discretion of the Commissioner, be accepted or rejected.

### **TERMS & CONDITIONS**

**38. CONTRACT CREATION / EXECUTION** Except for contracts governed by Article 11-B of the State Finance Law, subject to and upon receipt of all required approvals as set forth in the Bid Specifications a Contract shall be deemed executed and created with the successful Bidder(s), upon the Commissioner's mailing or electronic communication to the address on the Bid/Contract of: (i) the final Contract Award Notice; (ii) a fully executed Contract; or (iii) a Purchase Order authorized by the Commissioner.

**39. MODIFICATION OF CONTRACT TERMS** The terms and conditions set forth in the Contract shall govern all transactions by Authorized User(s) under this Contract. The Contract may only be modified or amended upon mutual written agreement of the Commissioner and Contractor.

The Contractor may, however, offer Authorized User(s) more advantageous pricing, payment, or other terms and conditions than those set forth in the Contract. In such event, a copy of such terms shall be furnished to the Authorized User(s) and Commissioner by the Contractor at the time of such offer.

Other than where such terms are more advantageous for the Authorized User(s) than those set forth in the Contract, no alteration or modification of the terms of the Contract, including substitution of Product, shall be valid or binding against Authorized User(s) unless authorized by the Commissioner or specified in the Contract Award Notification. No such alteration or modification shall be made by unilaterally affixing such terms to Product upon delivery (including, but not limited to, attachment or inclusion of standard pre-printed order forms, product literature, "shrink wrap" terms accompanying software upon delivery, or other documents) or by incorporating such terms onto order forms, purchase orders or other documents forwarded by the Contractor for payment, notwithstanding Authorized User's subsequent acceptance of Product, or that Authorized User has subsequently processed such document for approval or payment.

**40. SCOPE CHANGES** The Commissioner reserves the right, unilaterally, to require, by written order, changes by altering, adding to or deducting from the Bid Specifications, such changes to be within the general scope of the Contract. The Commissioner may make an equitable adjustment in the Contract price or delivery date if the change affects the cost or time of performance. Such equitable adjustments require the consent of the Contractor, which consent shall not be unreasonably withheld.

**41. ESTIMATED / SPECIFIC QUANTITY CONTRACTS** Estimated quantity contracts are expressly agreed and understood to be made for only the quantities, if any, actually ordered during the Contract term. No guarantee of any quantity(s) is implied or given. Purchases by Authorized Users from Contracts for services and technology are voluntary.

With respect to any specific quantity stated in the contract, the Commissioner reserves the right after award to order up to 20% more or less (rounded to the next highest whole number) than the specific quantities called for in the Contract. Notwithstanding the foregoing, the Commissioner may purchase greater or lesser percentages of Contract quantities should the Commissioner and Contractor so agree. Such agreement may include an equitable price adjustment.

**42. EMERGENCY CONTRACTS** In the event that a disaster emergency is declared by Executive Order under Section 28 of Article 2-B of the Executive Law, or the Commissioner determines pursuant to his/her authority under Section 163 (10) (b) of the State Finance Law that an emergency exists requiring the prompt and immediate delivery of Product, the Commissioner reserves the right to obtain such Product from any source, including but not limited to this Contract(s), as the Commissioner in his/her sole discretion determines will meet the needs of such emergency. Contractor shall not be entitled to any claim or lost profits for Product procured from other sources pursuant to this paragraph. The reasons underlying the finding that an emergency exists shall be included in the procurement record.

**43. PURCHASE ORDERS** Unless otherwise authorized in writing by the Commissioner, no Product is to be delivered or furnished by Contractor until transmittal of an official Purchase Order from the Authorized User. Unless terminated or cancelled pursuant to the authority vested in the Commissioner, Purchase Orders shall be effective and binding upon the Contractor when placed in the mail or electronically transmitted prior to the termination of the contract period, addressed to the Contractor at the address for receipt of orders set forth in the Contract or in the Contract Award Notification.

All Purchase Orders issued pursuant to Contracts let by the Commissioner must bear the appropriate Contract number and, if necessary, required State approvals. As deemed necessary, the Authorized User may confirm pricing and other Product information with the Contractor prior to placement of the Purchase Order. The State reserves the right to require any other information from the Contractor which the State deems necessary in order to complete any Purchase Order placed under the Contract. Unless otherwise specified, all Purchase Orders against Centralized Contracts will be placed by Authorized Users directly with the Contractor and any discrepancy between the terms stated on the vendor's order form, confirmation or acknowledgment, and the Contract terms shall be resolved in favor of the terms most favorable to the Authorized User. Should an Authorized User add written terms and conditions to the Purchase Order that conflict with the terms and conditions of the Contract, the Contractor has the option of rejecting the Purchase Order within five business days of its receipt but shall first attempt to negotiate the additional written terms and conditions in good faith with the Authorized User, or fulfill the Purchase Order. Notwithstanding the above, the Authorized User reserves the right to dispute any discrepancies arising from the presentation of additional terms and conditions with the Contractor.

If, with respect to an Agency Specific Contract let by DOCCS, a Purchase Order is not received by the Contractor within two weeks after the issuance of a Contract Award Notification, it is the responsibility of the Contractor to request in writing that the appropriate Authorized User forward a Purchase Order. If, thereafter, a Purchase Order is not received within a reasonable period of time, the Contractor shall promptly notify in writing the appropriate purchasing officer. Failure to timely notify such officer may, in the discretion of DOCCS and without cost to the State, result in the cancellation of such requirement by DOCCS with a corresponding reduction in the Contract quantity and price.

**45. PRODUCT DELIVERY** Delivery must be made as ordered to the address specified on the Purchase Order and in accordance with the terms of the Contract or Contract Award Notice. Unless otherwise specified in the Bid Documents, delivery shall be made within thirty calendar days after receipt of a Purchase Order by the Contractor. The decision of the Commissioner as to compliance with delivery terms shall be final. The burden of proof for delay in receipt of Purchase Order shall rest with the Contractor. In all instances of a potential or actual delay in delivery, the Contractor shall immediately notify the Commissioner and the Authorized User, and confirm in writing the explanation of the delay, and take appropriate action to avoid any subsequent late deliveries. Any extension of time for delivery must be requested in writing by the Contractor and approved in writing by the Authorized User. Failure to meet such delivery time schedule may be grounds for cancellation of the order or, in the Commissioner's discretion, the Contract.

**45. WEEKEND AND HOLIDAY DELIVERIES** Unless otherwise specified in the Bid Specifications or by an Authorized User, deliveries will be scheduled for ordinary business hours, Monday through Friday (excluding legal holidays observed by the State of New York). Deliveries may be scheduled by mutual agreement for Saturdays, Sundays or legal holidays observed by the State of New York where the Product is for daily consumption, an emergency exists, the delivery is a replacement, delivery is late, or other reasonable circumstance in which event the convenience of the Authorized User shall govern.

**46. SHIPPING/RECEIPT OF PRODUCT**

**a. Packaging** Tangible Product shall be securely and properly packed for shipment, storage and stocking in appropriate, clearly labeled shipping containers and according to accepted commercial practice, without any extra charges for packing materials, cases or other types of containers. The container shall become and remain the property of the Authorized User unless otherwise specified in the Contract documents.

**b. Shipping Charges** Unless otherwise stated in the Bid Specifications, all deliveries shall be deemed to be freight on board (F.O.B.) destination tailgate delivery at the dock of the Authorized User. Unless otherwise agreed, items purchased at a price F.O.B. Shipping point plus transportation charges shall not relieve the Contractor from responsibility for safe and proper delivery notwithstanding the Authorized User's payment of transportation charges. Contractor shall be responsible for ensuring that the Bill of Lading states "charges prepaid" for all shipments.

**c. Receipt of Product** The Contractor shall be solely responsible for assuring that deliveries are made to personnel authorized to accept delivery on behalf of the Authorized User. Any losses resulting from the Contractor's failure to deliver Product to authorized personnel shall be borne exclusively by the Contractor.

**47. TITLE AND RISK OF LOSS** Notwithstanding the form of shipment, title or other property interest, risk of loss shall not pass from the Contractor to the Authorized User until the Products have been received, inspected and accepted by the receiving entity. Acceptance shall occur within a reasonable time or in accordance with such other defined acceptance period as may be specified in the Bid Specifications or Purchase Order. Mere acknowledgment by Authorized User personnel of the delivery or receipt of goods (e.g., signed bill of lading) shall not be deemed or construed as acceptance of the Products received. Any delivery of Product that is substandard or does not comply with the Bid Specifications or Contract terms and conditions, may be rejected or accepted on an adjusted price basis, as determined by the Commissioner.

**48. RE-WEIGHING PRODUCT** Deliveries are subject to re-weighing at the point of destination by the Authorized User. If shrinkage occurs which exceeds that normally allowable in the trade, the Authorized User shall have the option to require delivery of the difference in quantity or to reduce the payment accordingly. Such option shall be exercised in writing by the Authorized User.

**49. PRODUCT SUBSTITUTION** In the event a specified manufacturer's Product listed in the Contract becomes unavailable or cannot be supplied by the Contractor for any reason (except as provided for in the Savings/Force Majeure Clause) a Product deemed in writing by the Commissioner to be equal to or better than the specified Product must be substituted by the Contractor at no additional cost or expense to the Authorized User. Unless otherwise specified, any substitution of Product prior to the Commissioner's written approval may be cause for cancellation of Contract.

**50. REJECTED PRODUCT** When Product is rejected, it must be removed by the Contractor from the premises of the Authorized User within ten calendar days of notification of rejection by the Authorized User. Upon notification of rejection, risk of loss of rejected or non-conforming Product shall remain with Contractor. Rejected items not removed by the Contractor within ten calendar days of notification shall be regarded as abandoned by the Contractor, and the Authorized User shall have the right to dispose of Product as its own property. The Contractor shall promptly reimburse the Authorized User for any and all costs and expenses incurred in storage or effecting removal or disposition after the ten-calendar day period.

**51. INSTALLATION** Where installation is required, Contractor shall be responsible for placing and installing the Product in the required locations. All materials used in the installation shall be of good quality and shall be free from any and all defects that would mar the appearance of the Product or render it structurally unsound. Installation includes the furnishing of any equipment, rigging and materials required to install or place the Product in the proper location. The Contractor shall protect the site from damage for all its work and shall repair damages or injury of any kind caused by the Contractor, its employees, officers or agents. If any alteration, dismantling or excavation, etc. is required to effect installation, the Contractor shall thereafter promptly restore the structure or site. Work shall be performed to cause the least inconvenience to the Authorized User(s) and with proper consideration for the rights of other Contractors or workers. The Contractor shall promptly perform its work and shall coordinate its activities with those of other Contractors. The Contractor shall clean up and remove all debris and rubbish from its work as required or directed. Upon completion of the work, the building and surrounding area of work shall be left clean and in a neat, unobstructed condition, and everything in satisfactory repair and order.

**52. REPAIRED OR REPLACED PARTS / COMPONENTS**

Where the Contractor is required to repair, replace or substitute Product or parts or components of the Product under the Contract, the repaired, replaced or substituted Products shall be subject to all terms and conditions for new parts and components set forth in the Contract including Warranties, as set forth in the Additional Warranties Clause herein. Replaced or repaired Product or parts and components of such Product shall be new and shall, if available, be replaced by the original manufacturer's component or part. Remanufactured parts or components meeting new Product standards may be permitted by the Commissioner or Authorized User. Before installation, all proposed substitutes for the original manufacturer's installed parts or components must be approved by the Authorized User. The part or component shall be equal to or of better quality than the original part or component being replaced.

**53. ON-SITE STORAGE** With the written approval of the Authorized User, materials, equipment or supplies may be stored at the Authorized User's site at the Contractor's sole risk.

**54. EMPLOYEES, SUBCONTRACTORS & AGENTS** All employees, Subcontractors or agents performing work under the Contract must be trained staff or technicians who meet or exceed the professional, technical and training qualifications set forth in the Bid Specifications or the Bid Documents, whichever is more restrictive, and must comply with all security and administrative requirements of the Authorized User. The Commissioner reserves the right to conduct a security background check or otherwise approve any employee, Subcontractor or agent furnished by Contractor and to refuse access to or require replacement of any personnel for cause based on, including but not limited to, professional, technical or training qualifications, quality of work or change in security status or non-compliance with Authorized User's security or other requirements. Such approval shall not relieve the Contractor of the obligation to perform all work in compliance with the Contract terms. The Commissioner reserves the right to reject and/or bar from the facility for cause any employee, Subcontractor, or agents of the Contractor.

**55. ASSIGNMENT** The Contractor shall not assign, transfer, convey, sublet, or otherwise dispose of the contract or its right, title or interest therein, or its power to execute such contract to any other person, company, firm or corporation in performance of the contract without the prior written consent of the Commissioner or Authorized User (as applicable). Failure to obtain consent to assignment from the Authorized User shall revoke and annul such Contract. Notwithstanding the foregoing, the State shall not hinder, prevent or affect assignment of money by a Contractor for the benefit of its creditors. Prior to a consent to assignment of monies becoming effective, the Contractor shall file a written notice of such monies assignment(s) with the Comptroller. Prior to a consent to assignment of a Contract, or portion thereof, becoming effective, the Contractor shall submit the request to assignment to the Commissioner and seek written agreement from the Commissioner which will be filed with the Comptroller. The Commissioner reserves the right to reject any proposed assignee in his/her discretion.

Upon notice to the Contractor, the Contract may be assigned without the consent of the Contractor to another State Agency or subdivision of the State pursuant to a governmental reorganization or assignment of functions under which the functions are transferred to a successor Agency or to another Agency that assumes responsibilities for the Contract.

**56. SUBCONTRACTORS AND SUPPLIERS** The Commissioner reserves the right to reject any proposed Subcontractor or supplier for bona fide business reasons, which may include, but are not limited to: they are on the Department of Labor's list of companies with which New York State cannot do business; the Commissioner determines that the company is not qualified; the Commissioner determines that the company is not responsible; the company has previously provided unsatisfactory work or services; the company failed to solicit minority and women's business enterprises (M/WBE) Bidders as required by prior Contracts.

**57. PERFORMANCE / BID BOND** The Commissioner reserves the right to require a Bidder or Contractor to furnish without additional cost, a performance, payment or Bid bond or negotiable irrevocable letter of credit or other form of security for the faithful performance of the Contract. Where required, such bond or other security shall be in the form prescribed by the Commissioner.

**58. SUSPENSION OF WORK** The Commissioner, in his/her sole discretion, reserves the right to suspend any or all activities under this



Contract, at any time, in the best interests of the Authorized User. In the event of such suspension, the Contractor will be given a formal written notice outlining the particulars of such suspension. Examples of the reason for such suspension include, but are not limited to, a budget freeze or reduction on State spending, declaration of emergency, contract compliance issues or other such circumstances. Upon issuance of such notice, the Contractor is not to accept any Purchase Orders, and shall comply with the suspension order. Activity may resume at such time as the Commissioner issues a formal written notice authorizing a resumption of performance under the Contract.

An Authorized User may issue a formal written notice for the suspension of work for which it has engaged the Contractor for reasons specified in the above paragraph. The written notice shall set forth the reason for such suspension and a copy of the written notice shall be provided to the Commissioner.

#### **59. TERMINATION**

**a. For Cause:** For a material breach that remains uncured for more than thirty (30) days or other specified period after written notice to the Contractor, the Contract or Purchase Order may be terminated by the Commissioner or Authorized User at the Contractor's expense where Contractor becomes unable or incapable of performing, or meeting any requirements or qualifications set forth in the Contract, or for non-performance, or upon a determination that Contractor is non-responsible. Such termination shall be upon written notice to the Contractor. In such event, the Commissioner or Authorized User may complete the contractual requirements in any manner it may deem advisable and pursue available legal or equitable remedies for breach.

**b. For Convenience:** By written notice, this Contract may be terminated at any time by the State for convenience upon sixty (60) days written notice or other specified period without penalty or other early termination charges due. Such termination of the Contract shall not affect any project or Purchase Order that has been issued under the Contract prior to the date of such termination. If the Contract is terminated pursuant to this subdivision, the Authorized User shall remain liable for all accrued but unpaid charges incurred through the date of the termination. Contractor shall use due diligence and provide any outstanding deliverables.

**c. For Violation of the Sections 139-j and 139-k of the State Finance Law:** The Commissioner reserves the right to terminate the Contract in the event it is found that the certification filed by the Bidder in accordance with Section 139-k of the State Finance Law was intentionally false or intentionally incomplete. Upon such finding, the Commissioner may exercise its termination right by providing written notification to the Contractor in accordance with the written notification terms of the Contract.

**d. For Violation of Revised Tax Law 5a:** The Commissioner reserves the right to terminate the contract in the event it is found that the certification filed by the Contractor in accordance with §5-a of the Tax Law is not timely filed during the term of the Contract or the certification furnished was intentionally false or intentionally incomplete. Upon such finding, the Commissioner may exercise its termination right by providing written notification to the Contractor.

**60. SAVINGS/FORCE MAJEURE** A force majeure occurrence is an event or effect that cannot be reasonably anticipated or controlled. Force majeure includes, but is not limited to, acts of God, acts of war, acts of public enemies, strikes, fires, explosions, actions of the elements, floods, or other similar causes beyond the control of the Contractor or the Commissioner in the performance of the Contract which non-performance, by exercise of reasonable diligence, cannot

be prevented. Contractor shall provide the Commissioner with written notice of any force majeure occurrence as soon as the delay is known.

Neither the Contractor nor the Commissioner shall be liable to the other for any delay in or failure of performance under the Contract due to a force majeure occurrence. Any such delay in or failure of performance shall not constitute default or give rise to any liability for damages. The existence of such causes of such delay or failure shall extend the period for performance to such extent as determined by the Contractor and the Commissioner to be necessary to enable complete performance by the Contractor if reasonable diligence is exercised after the cause of delay or failure has been removed.

Notwithstanding the above, at the discretion of the Commissioner where the delay or failure will significantly impair the value of the Contract to the State or to Authorized Users, the Commissioner may:

- a.** Accept allocated performance or deliveries from the Contractor. The Contractor, however, hereby agrees to grant preferential treatment to Authorized Users with respect to Product subjected to allocation; and/or
- b.** Purchase from other sources (without recourse to and by the Contractor for the costs and expenses thereof) to replace all or part of the Products which are the subject of the delay, which purchases may be deducted from the Contract quantities without penalty or liability to the State; or
- c.** Terminate the Contract or the portion thereof which is subject to delays, and thereby discharge any unexecuted portion of the Contract or the relative part thereof.

In addition, the Commissioner reserves the right, in his/her sole discretion, to make an equitable adjustment in the Contract terms and/or pricing should extreme and unforeseen volatility in the marketplace affect pricing or the availability of supply. "Extreme and unforeseen volatility in the marketplace" is defined as market circumstances which meet the following criteria: (i) the volatility is due to causes outside the control of Contractor; (ii) the volatility affects the marketplace or industry, not just the particular Contract source of supply; (iii) the effect on pricing or availability of supply is substantial; and (iv) the volatility so affects Contractor's performance that continued performance of the Contract would result in a substantial loss.

**61. CONTRACT BILLINGS** Contractor and the distributors/resellers designated by the Contractor, if any, shall provide complete and accurate billing invoices to each Authorized User in order to receive payment. Billings for Authorized Users must contain all information required by the Contract and the State Comptroller. The State Comptroller shall render payment for Authorized User purchases, and such payment shall be made in accordance with ordinary State procedures and practices. Payment of Contract purchases made by Authorized Users, other than Agencies, shall be billed directly by Contractor on invoices/vouchers, together with complete and accurate supporting documentation as required by the Authorized User.

Submission of an invoice and payment thereof shall not preclude the Commissioner from reimbursement or demanding a price adjustment in any case where the Product delivered is found to deviate from the terms and conditions of the Contract or where the billing was inaccurate.

Contractor shall provide, upon request of the Commissioner, any and all information necessary to verify the accuracy of the billings. Such

information shall be provided in the format requested by the Commissioner and in a media commercially available from the Contractor. The Commissioner may direct the Contractor to provide the information to the State Comptroller or to any Authorized User of the Contract.

## **62. DEFAULT – AUTHORIZED USER**

**a. Breach of Authorized User Not Breach of Centralized Contract.** An Authorized User's breach shall not be deemed a breach of the Centralized Contract, rather it shall be deemed a breach of the Authorized User's performance under the terms and conditions of the Centralized Contract.

**b. Failure to Make Payment.** In the event a participating Authorized User fails to make payment to the Contractor for Products delivered, accepted and properly invoiced, within 60 days of such delivery and acceptance, the Contractor may, upon 10 days advance written notice to both the Commissioner and the Authorized User's purchasing official, suspend additional shipments of Product or provision of services to such entity until such time as reasonable arrangements have been made and assurances given by such entity for current and future Contract payments.

**c. Notice of Breach.** Notwithstanding the foregoing, the Contractor shall, at least 10 days prior to declaring a breach of Contract by any Authorized User, by certified or registered mail, notify both the Commissioner and the purchasing official of the breaching Authorized User of the specific facts, circumstances and grounds upon which a breach will be declared.

**d. It is understood, however, that if the Contractor's basis for declaring a breach is insufficient, the Contractor's declaration of breach and failure to service an Authorized User shall constitute a breach of its Contract and the Authorized User may thereafter seek any remedy available at law or equity.**

## **63. INTEREST ON LATE PAYMENTS**

**a. State Agencies** The payment of interest on certain payments due and owed by Agency may be made in accordance with Article 11-A of the State Finance Law (SFL §179-d et. Seq.) and Title 2 of the New York Code of Rules and Regulations, Part 18 (Implementation of Prompt Payment Legislation -2 NYCRR §18.1 et seq.).

**b. By Non-State Agencies** The terms of Article 11-A apply only to procurements by and the consequent payment obligations of Agencies. Neither expressly nor by any implication is the statute applicable to Non-State Authorized Users. Neither DOCCS nor the State Comptroller is responsible for payments on any purchases made by a Non-State Agency Authorized User.

**c. By Contractor** Should the Contractor be liable for any payments to the State hereunder, interest, late payment charges and collection fee charges will be determined and assessed pursuant to Section 18 of the State Finance Law.

**64. REMEDIES FOR BREACH** It is understood and agreed that all rights and remedies afforded below shall be in addition to all remedies or actions otherwise authorized or permitted by law:

**a. Cover/Substitute Performance** In the event of Contractor's material breach, the Commissioner may, with or without formally Bidding: (i) Purchase from other sources; or (ii) If the Commissioner is unsuccessful after making reasonable attempts, under the circumstances then existing, to timely obtain acceptable service or acquire replacement Product of equal or comparable quality, the

Commissioner may acquire acceptable replacement Product of lesser or greater quality.

Such purchases may, in the discretion of the Commissioner, be deducted from the Contract quantity and payments due Contractor.

**b. Withhold Payment** In any case where a question of non-performance by Contractor arises, payment may be withheld in whole or in part at the discretion of the Commissioner. Should the amount withheld be finally paid, a cash discount originally offered may be taken as if no delay in payment had occurred.

**c. Bankruptcy** In the event that the Contractor files a petition under the U.S. Bankruptcy Code during the term of this Centralized Contract, Authorized Users may, at their discretion, make application to exercise its right to set-off against monies due the Debtor or, under the Doctrine of Recoupment, credit the Authorized User the amounts owed by the Contractor arising out of the same transactions.

**d. Reimbursement of Costs Incurred** The Contractor agrees to reimburse the Authorized User promptly for any and all additional costs and expenses incurred for acquiring acceptable services, and/or replacement Product. Should the cost of cover be less than the Contract price, the Contractor shall have no claim to the difference. The Contractor covenants and agrees that in the event suit is successfully prosecuted for any default on the part of the Contractor, all costs and expenses expended or incurred by the Authorized User in connection therewith, including reasonable attorney's fees, shall be paid by the Contractor.

Where the Contractor fails to timely deliver pursuant to the guaranteed delivery terms of the Contract, the ordering Authorized User may rent substitute equipment temporarily. Any sums expended for such rental shall, upon demand, be reimbursed to the Authorized User promptly by the Contractor or deducted by the Authorized User from payments due or to become due the Contractor on the same or another transaction.

**e. Deduction/Credit** Sums due as a result of these remedies may be deducted or offset by the Authorized User from payments due, or to become due, the Contractor on the same or another transaction. If no deduction or only a partial deduction is made in such fashion the Contractor shall pay to the Authorized User the amount of such claim or portion of the claim still outstanding, on demand. The Commissioner reserves the right to determine the disposition of any rebates, settlements, restitution, liquidated damages, etc., which arise from the administration of the Contract.

**65. ASSIGNMENT OF CLAIM** Contractor hereby assigns to the State any and all its claims for overcharges associated with this Contract which may arise under the antitrust laws of the United States, 15 USC Section 1, et. seq. and the antitrust laws of the State of New York, General Business Law Section 340, et. seq.

**66. TOXIC SUBSTANCES** Each Contractor furnishing a toxic substance as defined by Section 875 of the Labor Law, shall provide such Authorized User with not less than two copies of a material safety data sheet, which sheet shall include for each such substance the information outlined in Section 876 of the Labor Law.

Before any chemical product is used or applied on or in any building, a copy of the product label and Material Safety Data Sheet must be provided to and approved by the Authorized User agency representative.

**67. INDEPENDENT CONTRACTOR** It is understood and agreed that the legal status of the Contractor, its agents, officers and employees

under this Contract is that of an independent Contractor, and in no manner shall they be deemed employees of the Authorized User, and therefore are not entitled to any of the benefits associated with such employment. The Contractor agrees, during the term of this Contract, to maintain at Contractor's expense those benefits to which its employees would otherwise be entitled by law, including health benefits, and all necessary insurance for its employees, including worker's compensation, disability and unemployment insurance, and to provide the Authorized User with certification of such insurance upon request. The Contractor remains responsible for all applicable federal, state and local taxes, and all FICA contributions.

**68. SECURITY** Contractor warrants, covenants and represents that it will comply fully with all security procedures of the Authorized User(s) in performance of the Contract including but not limited to physical, facility, documentary and cyber security rules, procedures and protocols.

**69. COOPERATION WITH THIRD PARTIES** The Contractor shall be responsible for fully cooperating with any third party, including but not limited to other Contractors or Subcontractors of the Authorized User, as necessary to ensure delivery of Product or coordination of performance of services.

**70. CONTRACT TERM - RENEWAL** In addition to any stated renewal periods in the Contract, any Contract or unit portion thereof let by the Commissioner may be extended by the Commissioner for an additional period(s) of up to one year with the written concurrence of the Contractor and Comptroller. Such extension may be exercised on a month to month basis or in other stated periods of time during the one year extension.

**71. ADDITIONAL WARRANTIES** Where Contractor, product manufacturer or service provider generally offers additional or more advantageous warranties than set forth below, Contractor shall offer or pass through any such warranties to Authorized Users. Contractor hereby warrants and represents:

**a. Product Performance** Contractor warrants and represents that Products delivered pursuant to this Contract conform to the manufacturer's specifications, performance standards and documentation, and the documentation fully describes the proper procedure for using the Products.

**b. Title and Ownership Warranty** Contractor warrants, represents and conveys (i) full ownership, clear title free of all liens, or (ii) the right to transfer or deliver perpetual license rights to any Products transferred to Authorized User under this Contract. Contractor shall be solely liable for any costs of acquisition associated therewith. Contractor fully indemnifies the Authorized User for any loss, damages or actions arising from a breach of said warranty without limitation.

**c. Contractor Compliance** Contractor represents and warrants to pay, at its sole expense, for all applicable permits, licenses, tariffs, tolls and fees to give all notices and comply with all laws, ordinances, rules and regulations of any governmental entity in conjunction with the performance of obligations under the Contract. Prior to award and during the Contract term and any renewals thereof, Contractor must establish to the satisfaction of the Commissioner that it meets or exceeds all requirements of the Bid/Contract and any applicable laws, including but not limited to, permits, insurance coverage, licensing, proof of coverage for worker's compensation, and shall provide such proof as required by the Commissioner. Failure to do so may constitute grounds for the Commissioner to cancel or suspend this

Contract, in whole or in part, or to take any other action deemed necessary by the Commissioner.

**d. Product Warranty** Unless recycled or recovered materials are available in accordance with the "Recycled or Recovered Materials" clause, Product offered shall be standard new equipment, current model or most recent release of regular stock product with all parts regularly used with the type of equipment offered; and no attachment or part has been substituted or applied contrary to the manufacturer's recommendations and standard practice.

Contractor further warrants and represents that components or deliverables specified and furnished by or through Contractor shall individually, and where specified and furnished as a system, be substantially uninterrupted or error-free in operation and guaranteed against faulty material and workmanship for the warranty period, or for a minimum of one (1) year from the date of acceptance, whichever is longer ("Project warranty period"). During the Project warranty period, defects in the materials or workmanship of components or deliverables specified and furnished by or through Contractor shall be repaired or replaced by Contractor at no cost or expense to the Authorized User. Contractor shall extend the Project warranty period for individual component(s), or for the System as a whole, as applicable, by the cumulative period(s) of time, after notification, during which an individual component or the System requires servicing or replacement (down time) or is in the possession of the Contractor, its agents, officers, Subcontractors, distributors, resellers or employees ("extended warranty").

Where Contractor, the Independent Software Vendor "ISV," or other third party manufacturer markets any Project Deliverable delivered by or through Contractor with a standard commercial warranty, such standard warranty shall be in addition to, and not relieve the Contractor from, Contractor's warranty obligations during the project warranty and extended warranty period(s). Where such standard commercial warranty covers all or some of the Project warranty or extended warranty period(s), Contractor shall be responsible for the coordination during the Project warranty or extended warranty period(s) with ISV or other third party manufacturer(s) for warranty repair or replacement of ISV or other third party manufacturer's Product.

Where Contractor, ISV or other third party manufacturer markets any Project Deliverable with a standard commercial warranty which goes beyond the Project warranty or extended warranty period(s), Contractor shall notify the Authorized User and pass through the manufacturer's standard commercial warranty to Authorized User at no additional charge; provided, however, that Contractor shall not be responsible for coordinating services under the third party extended warranty after expiration of the Project warranty and extended warranty period(s).

**e. Replacement Parts Warranty** If during the regular or extended warranty period's faults develop, the Contractor shall promptly repair or, upon demand, replace the defective unit or component part affected. All costs for labor and material and transportation incurred to repair or replace defective Product during the warranty period shall be borne solely by the Contractor, and the State or Authorized User shall in no event be liable or responsible therefor.

Any part of component replaced by the Contractor under the Contract warranty shall be replaced at no cost to the Authorized User and guaranteed for the greater of: a) the warranty period under paragraph (d) above; or b) if a separate warranty for that part or component is generally offered by the manufacturer, the standard commercial warranty period offered by the manufacturer for the individual part or component.

**f. Virus Warranty** The Contractor represents and warrants that Licensed Software contains no known viruses. Contractor is not responsible for viruses introduced at Licensee's site.

**g. Date/Time Warranty** Contractor warrants that Product(s) furnished pursuant to this Contract shall, when used in accordance with the Product documentation, be able to accurately process date/time data (including, but not limited to, calculating, comparing, and sequencing) transitions, including leap year calculations. Where a Contractor proposes or an acquisition requires that specific Products must perform as a package or system, this warranty shall apply to the Products as a system.

Where Contractor is providing ongoing services, including but not limited to: i) consulting, integration, code or data conversion, ii) maintenance or support services, iii) data entry or processing, or iv) contract administration services (e.g., billing, invoicing, claim processing), Contractor warrants that services shall be provided in an accurate and timely manner without interruption, failure or error due to the inaccuracy of Contractor's business operations in processing date/time data (including, but not limited to, calculating, comparing, and sequencing) various date/time transitions, including leap year calculations. Contractor shall be responsible for damages resulting from any delays, errors or untimely performance resulting therefrom, including but not limited to the failure or untimely performance of such services.

This Date/Time Warranty shall survive beyond termination or expiration of this contract through: a) ninety (90) days or b) the Contractor's or Product manufacturer/developer's stated date/time warranty term, whichever is longer. Nothing in this warranty statement shall be construed to limit any rights or remedies otherwise available under this Contract for breach of warranty.

**h. Workmanship Warranty** Contract warrants that all components or deliverables specified and furnished by or through Contractor under the Project Definition/Work Order meet the completion criteria set forth in the Project Definition/Work Order and any subsequent statement(s) of work, and that services will be provided in a workmanlike manner in accordance with industry standards.

**i. Survival of Warranties** All warranties contained in this Contract shall survive the termination of this Contract.

**72. LEGAL COMPLIANCE** Contractor represents and warrants that it shall secure all notices and comply with all laws, ordinances, rules and regulations of any governmental entity in conjunction with the performance of obligations under the Contract. Prior to award and during the Contract term and any renewals thereof, Contractor must establish to the satisfaction of the Commissioner that it meets or exceeds all requirements of the Bid and Contract and any applicable laws, including but not limited to, permits, licensing, and shall provide such proof as required by the Commissioner. Failure to comply or failure to provide proof may constitute grounds for the Commissioner to cancel or suspend the Contract, in whole or in part, or to take any other action deemed necessary by the Commissioner. Contractor also agrees to disclose information and provide affirmations and certifications to comply with Sections 139-j and 139-k of the State Finance Law.

**73. INDEMNIFICATION** Contractor shall be fully liable for the actions of its agents, employees, partners or Subcontractors and shall fully indemnify and save harmless the Authorized Users from suits, actions, damages and costs of every name and description relating to personal injury and damage to real or personal tangible property caused by any intentional act or negligence of Contractor, its agents,

employees, partners or Subcontractors, without limitation; provided, however, that the Contractor shall not indemnify for that portion of any claim, loss or damage arising hereunder due to the negligent act or failure to act of the Authorized Users.

**74. INDEMNIFICATION RELATING TO THIRD PARTY RIGHTS** The Contractor will also indemnify and hold the Authorized Users harmless from and against any and all damages, expenses (including reasonable attorneys' fees), claims, judgments, liabilities and costs that may be finally assessed against the Authorized Users in any action for infringement of a United States Letter Patent, or of any copyright, trademark, trade secret or other third party proprietary right except to the extent such claims arise from the Authorized Users gross negligence or willful misconduct, provided that the State shall give Contractor: (i) prompt written notice of any action, claim or threat of infringement suit, or other suit, (ii) the opportunity to take over, settle or defend such action, claim or suit at Contractor's sole expense, and (iii) assistance in the defense of any such action at the expense of Contractor.

If usage shall be enjoined for any reason or if Contractor believes that it may be enjoined, Contractor shall have the right, at its own expense and sole discretion to take action in the following order of precedence: (i) to procure for the Authorized User the right to continue Usage (ii) to modify the service or Product so that Usage becomes non-infringing, and is of at least equal quality and performance; or (iii) to replace said service or Product or part(s) thereof, as applicable, with non-infringing service or Product of at least equal quality and performance. If the above remedies are not available, the parties shall terminate the Contract, in whole or in part as necessary and applicable, provided the Authorized User is given a refund for any amounts paid for the period during which Usage was not feasible.

The foregoing provisions as to protection from third party rights shall not apply to any infringement occasioned by modification by the Authorized User of any Product without Contractor's approval.

In the event that an action at law or in equity is commenced against the Authorized User arising out of a claim that the Authorized User's use of the service or Product under the Contract infringes any patent, copyright or proprietary right, and Contractor is of the opinion that the allegations in such action in whole or in part are not covered by the indemnification and defense provisions set forth in the Contract, Contractor shall immediately notify the Authorized User and the Office of the Attorney General in writing and shall specify to what extent Contractor believes it is obligated to defend and indemnify under the terms and conditions of the Contract. Contractor shall in such event protect the interests of the Authorized User and secure a continuance to permit the Authorized User to appear and defend its interests in cooperation with Contractor, as is appropriate, including any jurisdictional defenses the Authorized User may have. This constitutes the Authorized User's sole and exclusive remedy for patent infringement, or for infringement of any other third party proprietary right.

**75. LIMITATION OF LIABILITY** Except as otherwise set forth in the Indemnification Paragraphs above, the limit of liability shall be as follows:

**a.** Contractor's liability for any claim, loss or liability arising out of, or connected with the Products and services provided, and whether based upon default, or other liability such as breach of contract, warranty, negligence, misrepresentation or otherwise, shall in no case exceed direct damages in: (i) an amount equal to two (2) times the charges specified in the Purchase Order for the Products and services, or parts thereof forming the basis of the Authorized User's claim, (said



amount not to exceed a total of twelve (12) months charges payable under the applicable Purchase Order) or (ii) one million dollars (\$1,000,000), whichever is greater.

b. The Authorized User may retain such monies from any amount due Contractor as may be necessary to satisfy any claim for damages, costs and the like asserted against the Authorized User unless Contractor at the time of the presentation of claim shall demonstrate to the Authorized User's satisfaction that sufficient monies are set aside by the Contractor in the form of a bond or through insurance coverage to cover associated damages and other costs.

c. Notwithstanding the above, neither the Contractor nor the Authorized User shall be liable for any consequential, indirect or special damages of any kind which may result directly or indirectly from such performance, including, without limitation, damages resulting from loss of use or loss of profit by the Authorized User, the Contractor, or by others.

**76. INSURANCE** Contractor shall secure and maintain insurance coverage as specified in the Bid Documents and shall promptly provide documentation of specified coverages to the Authorized User. If specified, the Contractor may be required to add the Authorized User as an additional insured.

#### **THE FOLLOWING CLAUSES PERTAIN TO TECHNOLOGY & NEGOTIATED CONTRACTS**

**77. SOFTWARE LICENSE GRANT** Where Product is acquired on a licensed basis the following shall constitute the license grant:

a. **License Scope** Licensee is granted a non-exclusive, perpetual license to use, execute, reproduce, display, perform, or merge the Product within its business enterprise in the United States up to the maximum licensed capacity stated on the Purchase Order. Product may be accessed, used, executed, reproduced, displayed or performed up to the capacity measured by the applicable licensing unit stated on the Purchase Order (i.e., payroll size, number of employees, CPU, MIPS, MSU, concurrent user, workstation). Licensee shall have the right to use and distribute modifications or customizations of the Product to and for use by any Authorized Users otherwise licensed to use the Product, provided that any modifications, however extensive, shall not diminish Licensor's proprietary title or interest. No license, right or interest in any trademark, trade name, or service mark is granted hereunder.

b. **License Term** The license term shall commence upon the License Effective Date, provided, however, that where an acceptance or trial period applies to the Product, the License Term shall be extended by the time period for testing, acceptance or trial.

c. **Licensed Documentation** If commercially available, Licensee shall have the option to require the Contractor to deliver, at Contractor's expense: (i) one (1) hard copy and one (1) master electronic copy of the Documentation in a mutually agreeable format; (ii) based on hard copy instructions for access by downloading from the Internet (iii) hard copies of the Product Documentation by type of license in the following amounts, unless otherwise mutually agreed:

- Individual/Named User License - one (1) copy per License
- Concurrent Users - 10 copies per site
- Processing Capacity - 10 copies per site

Software media must be in a format specified by the Authorized User, without requiring any type of conversion.

Contractor hereby grants to Licensee a perpetual license right to make, reproduce (including downloading electronic copies of the Product) and distribute, either electronically or otherwise, copies of Product Documentation as necessary to enjoy full use of the Product in accordance with the terms of license.

d. **Product Technical Support & Maintenance** Licensee shall have the option of electing the Product technical support and maintenance ("maintenance") set forth in the Contract by giving written notice to Contractor any time during the Centralized Contract term. Maintenance term(s) and any renewal(s) thereof are independent of the expiration of the Centralized Contract term and will not automatically renew.

Maintenance shall include, at a minimum, (i) the provision of error corrections, updates, revisions, fixes, upgrade and new releases to Licensee, and (ii) Help Desk assistance with locally accessible "800" or toll free, local telephone service, or alternatively on-line Help Desk accessibility. Contractor shall maintain the Products so as to provide Licensee with the ability to utilize the Products in accordance with the Product documentation without significant functional downtime to its ongoing business operations during the maintenance term.

Authorized User shall not be required to purchase maintenance for use of Product, and may discontinue maintenance at the end of any current maintenance term upon notice to Contractor. In the event that Authorized User does not initially acquire or discontinues maintenance of licensed Product, it may, at any time thereafter, reinstate maintenance for Product without any additional penalties or other charges, by paying Contractor the amount which would have been due under the Contract for the period of time that such maintenance had lapsed, at then current NYS net maintenance rates.

e. **Permitted License Transfers** As Licensee's business operations may be altered, expanded or diminished, licenses granted hereunder may be transferred or combined for use at an alternative or consolidated site not originally specified in the license, including transfers between Agencies ("permitted license transfers"). Licensee(s) do not have to obtain the approval of Contractor for permitted license transfers, but must give thirty (30) days prior written notice to Contractor of such move(s) and certify in writing that the Product is not in use at the prior site. There shall be no additional license or other transfer fees due Contractor, provided that: i) the maximum capacity of the consolidated machine is equal to the combined individual license capacity of all licenses running at the consolidated or transferred site (e.g., named users, seats, or MIPS); or ii) if the maximum capacity of the consolidated machine is greater than the individual license capacity being transferred, a logical or physical partition or other means of restricting access will be maintained within the computer system so as to restrict use and access to the Product to that unit of licensed capacity solely dedicated to beneficial use for Licensee. In the event that the maximum capacity of the consolidated machine is greater than the combined individual license capacity of all licenses running at the consolidated or transferred site, and a logical or physical partition or other means of restricting use is not available, the fees due Contractor shall not exceed the fees otherwise payable for a single license for the upgrade capacity.

f. **Restricted Use By Outsourcers / Facilities Management, Service Bureaus / or Other Third Parties** Outsourcers, facilities management or service bureaus retained by Licensee shall have the right to use the Product to maintain Licensee's business operations, including data processing, for the time period that they are engaged in such activities, provided that: 1) Licensee gives notice to Contractor of such party, site of intended use of the Product, and means of access;



and 2) such party has executed, or agrees to execute, the Product manufacturer's standard nondisclosure or restricted use agreement which executed agreement shall be accepted by the Contractor ("Non-Disclosure Agreement"); and 3) if such party is engaged in the business of facility management, outsourcing, service bureau or other services, such third party will maintain a logical or physical partition within its computer system so as to restrict use and access to the program to that portion solely dedicated to beneficial use for Licensee. In no event shall Licensee assume any liability for third party's compliance with the terms of the Non-Disclosure Agreement, nor shall the Non-Disclosure Agreement create or impose any liabilities on the State or Licensee.

Any third party with whom a Licensee has a relationship for a state function or business operation, shall have the temporary right to use Product (e.g., JAVA Applets), provided that such use shall be limited to the time period during which the third party is using the Product for the function or business activity.

**g. Archival Back-Up and Disaster Recovery** Licensee may use and copy the Product and related Documentation in connection with:

i) reproducing a reasonable number of copies of the Product for archival backup and disaster recovery procedures in the event of destruction or corruption of the Product or disasters or emergencies which require Licensee to restore backup(s) or to initiate disaster recovery procedures for its platform or operating systems; ii) reproducing a reasonable number of copies of the Product and related Documentation for cold site storage. "Cold Site" storage shall be defined as a restorable back-up copy of the Product not to be installed until and after the declaration by the Licensee of a disaster; iii) reproducing a back-up copy of the Product to run for a reasonable period of time in conjunction with a documented consolidation or transfer otherwise allowed herein. "Disaster Recovery" shall be defined as the installation and storage of Product in ready-to-execute, back-up computer systems prior to disaster or breakdown which is not used for active production or development.

**h. Confidentiality Restrictions** The Product is a trade secret, copyrighted and proprietary product. Licensee and its employees will keep the Product strictly confidential, and Licensee will not disclose or otherwise distribute or reproduce any Product to anyone other than as authorized under the terms of Contract. Licensee will not remove or destroy any proprietary markings of Contractor.

**i. Restricted Use by Licensee** Except as expressly authorized by the terms of license, Licensee shall not:

- (i) Copy the Product;
- (ii) Cause or permit reverse compilation or reverse assembly of all or any portion of the Product;
- (iii) Export the Licensed Software in violation of any U.S. Department of Commerce export administration regulations.

**78. PRODUCT ACCEPTANCE** Unless otherwise provided by mutual agreement of the Authorized User and the Contractor, Authorized User(s) shall have thirty (30) days from the date of delivery to accept hardware products and sixty (60) days from the date of delivery to accept all other Product. Where the Contractor is responsible for installation, acceptance shall be from completion of installation. Failure to provide notice of acceptance or rejection or a deficiency statement to the Contractor by the end of the period provided for under this clause constitutes acceptance by the Authorized User(s) as of the expiration of that period. The License Term shall be extended by the time periods allowed for trial use, testing and acceptance unless the Commissioner or Authorized User agrees to accept the Product at completion of trial use.

Unless otherwise provided by mutual agreement of the Authorized User and the Contractor, Authorized User shall have the option to run testing on the Product prior to acceptance, such tests and data sets to be specified by User. Where using its own data or tests, Authorized User must have the tests or representative set of data available upon delivery. This demonstration will take the form of a documented installation test, capable of observation by the Authorized User, and shall be made part of the Contractor's standard documentation. The test data shall remain accessible to the Authorized User after completion of the test.

In the event that the documented installation test cannot be completed successfully within the specified acceptance period, and the Contractor or Product is responsible for the delay, Authorized User shall have the option to cancel the order in whole or in part, or to extend the testing period for an additional thirty (30) day increment. Authorized User shall notify Contractor of acceptance upon successful completion of the documented installation test. Such cancellation shall not give rise to any cause of action against the Authorized User for damages, loss of profits, expenses, or other remuneration of any kind.

If the Authorized User elects to provide a deficiency statement specifying how the Product fails to meet the specifications within the testing period, Contractor shall have thirty (30) days to correct the deficiency, and the Authorized User shall have an additional sixty (60) days to evaluate the Product as provided herein. If the Product does not meet the specifications at the end of the extended testing period, Authorized User, upon prior written notice to Contractor, may then reject the Product and return all defective Product to Contractor, and Contractor shall refund any monies paid by the Authorized User to Contractor therefor. Costs and liabilities associated with a failure of the Product to perform in accordance with the functionality tests or product specifications during the acceptance period shall be borne fully by Contractor to the extent that said costs or liabilities shall not have been caused by negligent or willful acts or omissions of the Authorized User's agents or employees. Said costs shall be limited to the amounts set forth in the Limitation of Liability Clause for any liability for costs incurred at the direction or recommendation of Contractor.

**79. AUDIT OF LICENSED PRODUCT USAGE** Contractor shall have the right to periodically audit, no more than annually, at Contractor's expense, use of licensed Product at any site where a copy of the Product resides provided that: (i) Contractor gives Licensee(s) at least thirty (30) days advance written notice, (ii) such audit is conducted during such party's normal business hours, (iii) the audit is conducted by an independent auditor chosen on mutual agreement of the parties. Contractor shall recommend a minimum of three (3) auditing/accounting firms from which the Licensee will select one (1). In no case shall the Business Software Alliance (BSA), Software Publishers Association (SPA), Software and Industry Information Association (SIIA) or Federation Against Software Theft (FAST) be used directly or indirectly to conduct audits, or be recommended by Contractor; (iv) Contractor and Licensee are each entitled to designate a representative who shall be entitled to participate, and who shall mutually agree on audit format, and simultaneously review all information obtained by the audit. Such representatives also shall be entitled to copies of all reports, data or information obtained from the audit; and (v) if the audit shows that such party is not in compliance, Licensee shall be required to purchase additional licenses or capacities necessary to bring it into compliance and shall pay for the unlicensed capacity at the NYS Net Price in effect at time of audit, or if none, then at the Contractor's U.S. Commercial list price. Once such additional licenses or capacities are purchased, Licensee shall be deemed to have been in compliance retroactively, and Licensee shall

have no further liability of any kind for the unauthorized use of the software.

## **80. OWNERSHIP/TITLE TO PROJECT DELIVERABLES**

### **a. Definitions**

(i) For purposes of this paragraph, "Products." A deliverable furnished under this Contract by or through Contractor, including existing and custom Products, including, but not limited to: a) components of the hardware environment, b) printed materials (including but not limited to training manuals, system and user documentation, reports, drawings), whether printed in hard copy or maintained on diskette, CD, DVD or other electronic media c) third party software, d) modifications, customizations, custom programs, program listings, programming tools, data, modules, components, and e) any properties embodied therein, whether in tangible or intangible form (including but not limited to utilities, interfaces, templates, subroutines, algorithms, formulas, source code, object code).

(ii) For purposes of this paragraph, "Existing Products." Tangible Products and intangible licensed Products that exist prior to the commencement of work under the Contract. Contractor bears the burden of proving that a particular product was in existence prior to the commencement of the Project.

(iii) For purposes of this paragraph, "Custom Products." Products, preliminary, final or otherwise, which are created or developed by Contractor, its Subcontractors, partners, employees or agents for Authorized User under the Contract.

**b. Title to Project Deliverables** Contractor acknowledges that it is commissioned by the Authorized User to perform the services detailed in the Purchase Order. Unless otherwise specified in writing in the Bid or Purchase Order, the Authorized User shall have ownership and license rights as follows:

#### **(i) Existing Products:**

**1. Hardware** - Title and ownership of Existing Hardware Product shall pass to Authorized User upon Acceptance.

**2. Software** - Title and ownership to Existing Software Product(s) delivered by Contractor under the Contract that is normally commercially distributed on a license basis by the Contractor or other independent software vendor proprietary owner ("Existing Licensed Product"), whether or not embedded in, delivered or operating in conjunction with hardware or Custom Products, shall remain with Contractor or the proprietary owner of other independent software vendor(s) (ISV). Effective upon acceptance, such Product shall be licensed to Authorized User in accordance with the Contractor or ISV owner's standard license agreement, provided, however, that such standard license, must, at a minimum: (a) grant Authorized User a non-exclusive, perpetual license to use, execute, reproduce, display, perform, adapt (unless Contractor advises Authorized User as part of Contractor's proposal that adaptation will violate existing agreements or statutes and Contractor demonstrates such to the Authorized User's satisfaction) and distribute Existing Licensed Product to the Authorized User up to the license capacity stated in the Purchase Order or work order with all license rights necessary to fully effect the general business purpose(s) stated in the Bid or Authorized User's Purchase Order or work order, including the financing assignment rights set forth in paragraph (c) below; and (b) recognize the State of New York as the licensee where the Authorized User is a state agency, department, board, commission, office or institution. Where these rights are not otherwise covered by the ISV's owner's standard license agreement, the Contractor shall be responsible for obtaining these rights at its sole cost and expense. The Authorized User shall reproduce all copyright notices and any other legend of ownership on any copies authorized under this paragraph.

(ii.) **Custom Products:** Effective upon creation of Custom Products, Contractor hereby conveys, assigns and transfers to Authorized User the sole and exclusive rights, title and interest in Custom Product(s), whether preliminary, final or otherwise, including all trademark and copyrights. Contractor hereby agrees to take all necessary and appropriate steps to ensure that the Custom Products are protected against unauthorized copying, reproduction and marketing by or through Contractor, its agents, employees, or Subcontractors. Nothing herein shall preclude the Contractor from otherwise using the related or underlying general knowledge, skills, ideas, concepts, techniques and experience developed under a Purchase Order, project definition or work order in the course of Contractor's business. Authorized User may, by providing written notice thereof to the Contractor, elect in the alternative to take a non-exclusive perpetual license to Custom Products in lieu of Authorized User taking exclusive ownership and title to such Products. In such case, Licensee on behalf of all Authorized Users shall be granted a non-exclusive perpetual license to use, execute, reproduce, display, perform, adapt and distribute Custom Product as necessary to fully effect the general business purpose(s) as stated in paragraph (b)(i)(2), above.

**c. Transfers or Assignments to a Third Party Financing Agent** It is understood and agreed by the parties that a condition precedent to the consummation of the purchase (s) under the Contract may be the obtaining of acceptable third party financing by the Authorized User. The Authorized User shall make the sole determination of the acceptability of any financing proposal. The Authorized User will make all reasonable efforts to obtain such financing, but makes no representation that such financing has been obtained as of the date of Bid receipt. Where financing is used, Authorized User may assign or transfer its rights in Licensed Products (existing or custom) to a third party financing entity or trustee ("Trustee") as collateral where required by the terms of the financing agreement. Trustee's sole rights with respect to transferability or use of Licensed Products shall be to exclusively sublicense to Authorized User all of its Licensee's rights under the terms and conditions of the License Agreement; provided, further, however, in the event of any termination or expiration of such sublicense by reason of payment in full, all of Trustee's rights in such Licensed Product shall terminate immediately and Authorized User's prior rights to such Existing Licensed Product shall be revived.

**d. Sale or License of Custom Products Involving Tax-Exempt Financing (i.e., Certificates of Participation - COPS)** The Authorized User's sale or other transfer of Custom Products which were acquired by the Authorized User using third party, tax-exempt financing may not occur until such Custom Products are, or become, useable. In the event that the Contractor wishes to obtain ownership rights to Custom Product(s), the sale or other transfer shall be at fair market value determined at the time of such sale or other transfer, and must be pursuant to a separate written agreement in a form acceptable to the Authorized User which complies with the terms of this paragraph.

**e. Contractor's Obligation with Regard to ISV (Third Party) Product** Where Contractor furnishes Existing Licensed Product(s) as a Project Deliverable, and sufficient rights necessary to effect the purposes of this section are not otherwise provided in the Contractor or ISV's standard license agreement, Contractor shall be responsible for obtaining from the ISV third party proprietary owner/developer the rights set forth herein to the benefit of the Authorized User at Contractor's sole cost and expense.

**81. PROOF OF LICENSE** The Contractor must provide to each Licensee who places a Purchase Order either: (i) the Product developer's certified License Confirmation Certificates in the name of such Licensee; or (ii) a written confirmation from the Proprietary owner accepting Product invoice as proof of license. Contractor shall

submit a sample certificate, or alternatively such written confirmation from the proprietary developer. Such certificates must be in a form acceptable to the Licensee.

**82. PRODUCT VERSION** Purchase Orders shall be deemed to reference Manufacturer's most recently released model or version of the Product at time of order, unless an earlier model or version is specifically requested in writing by Authorized User and Contractor is willing to provide such version.

**83. CHANGES TO PRODUCT OR SERVICE OFFERINGS**

**a. Product or Service Discontinuance** Where Contractor is the Product Manufacturer/Developer, and Contractor publicly announces to all U.S. customers ("date of notice") that a Product is being withdrawn from the U.S. market or that maintenance service or technical support provided by Contractor ("withdrawn support") is no longer going to be offered, Contractor shall be required to: (i) notify the Commissioner, each Licensee and each Authorized User then under contract for maintenance or technical support in writing of the intended discontinuance; and (ii) continue to offer Product or withdrawn support upon the Contract terms previously offered for the greater of: a) the best terms offered by Contractor to any other customer, or b) not less than twelve (12) months from the date of notice; and (iii) at Authorized User's option, provided that the Authorized User is under contract for maintenance on the date of notice, either: provide the Authorized User with a Product replacement or migration path with at least equivalent functionality at no additional charge to enable Authorized User to continue use and maintenance of the Product.

In the event that the Contractor is not the Product Manufacturer, Contractor shall be required to: (i) provide the notice required under the paragraph above, to the entities described within five (5) business days of Contractor receiving notice from the Product Manufacturer, and (ii) include in such notice the period of time from the date of notice that the Product Manufacturer will continue to provide Product or withdraw support.

The provisions of this subdivision (a) shall not apply or eliminate Contractor's obligations where withdrawn support is being provided by an independent Subcontractor. In the event that such Subcontractor ceases to provide service, Contractor shall be responsible for subcontracting such service, subject to state approval, to an alternate Subcontractor.

**b. Product or Service Re-Bundling** In the event that Contractor is the Product manufacturer and publicly announces to all U.S. customers ("date of notice") that a Product or maintenance or technical support offering is being re-bundled in a different manner from the structure or licensing model of the prior U.S. commercial offering, Contractor shall be required to: (i) notify the State and each Authorized User in writing of the intended change; (ii) continue to provide Product or withdrawn support upon the same terms and conditions as previously offered on the then-current NYS Contract for the greater of: a) the best terms offered by Contractor to any other customer, or b) not less than twelve (12) months from the date of notice; and (iii) shall submit the proposed rebundling change to the Commissioner for approval prior to its becoming effective for the remainder of the Contract term. The provisions of this section do not apply if the Contractor is not the Product manufacturer.

**84. NO HARDSTOP/PASSIVE LICENSE MONITORING**

Unless an Authorized User is otherwise specifically advised to the contrary in writing at the time of order and prior to purchase, Contractor hereby warrants and represents that the Product and all Upgrades do not and will not contain any computer code that would

disable the Product or Upgrades or impair in any way its operation based on the elapsing of a period of time, exceeding an authorized number of copies, advancement to a particular date or other numeral, or other similar self-destruct mechanisms (sometimes referred to as "time bombs," "time locks," or "drop dead" devices) or that would permit Contractor to access the Product to cause such disablement or impairment (sometimes referred to as a "trap door" device). Contractor agrees that in the event of a breach or alleged breach of this provision that Authorized User shall not have an adequate remedy at law, including monetary damages, and that Authorized User shall consequently be entitled to seek a temporary restraining order, injunction, or other form of equitable relief against the continuance of such breach, in addition to any and all remedies to which Authorized User shall be entitled.

**85. SOURCE CODE ESCROW FOR LICENSED PRODUCT**

If Source Code or Source Code escrow is offered by either Contractor or Product manufacturer or developer to any other commercial customers, Contractor shall either: (i) provide Licensee with the Source Code for the Product; or (ii) place the Source Code in a third party escrow arrangement with a designated escrow agent who shall be named and identified to the State, and who shall be directed to release the deposited Source Code in accordance with a standard escrow agreement acceptable to the State; or (iii) will certify to the State that the Product manufacturer/developer has named the State, acting by and through the Authorized User, and the Licensee, as a named beneficiary of an established escrow arrangement with its designated escrow agent who shall be named and identified to the State and Licensee, and who shall be directed to release the deposited Source Code in accordance with the terms of escrow. Source Code, as well as any corrections or enhancements to such source code, shall be updated for each new release of the Product in the same manner as provided above and such updating of escrow shall be certified to the State in writing. Contractor shall identify the escrow agent upon commencement of the Contract term and shall certify annually that the escrow remains in effect in compliance with the terms of this paragraph.

The State may release the Source Code to Licensees under this Contract who have licensed Product or obtained services, who may use such copy of the Source Code to maintain the Product.

**FOR NEGOTIATED CONTRACTS THE FOLLOWING CLAUSES ARE RESERVED BECAUSE BIDDING DOES NOT APPLY:**

**Clauses: 7, 8, 9, 10, 11, 12, 13, 16, 15, 21, 25, 26, 28, 29, 30, 31, 32, 33, 36, 49, 50, 52, 54 and 37**

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## **APPENDIX C**

**Invitation for Bids 2018-06**



# Corrections and Community Supervision

## INVITATION FOR BIDS (IFB) 2018-06 URINALYSIS ANALYZERS

Issue Date: May 1, 2018

Bid Due Date & Time: May 23, 2018 – 3:00 p.m.

Contract Period: September 1, 2018 – August 31, 2023

### Designated Contact

Name: Marla Henriquez-Nepaulsingh  
Phone: (518) 436-7886 ext. 3135  
Email: [doccscontracts@doccs.ny.gov](mailto:doccscontracts@doccs.ny.gov)

### Alternate Designated Contact

Name: David Gambacorta  
Phone: (518) 436-7886 ext. 3135  
Email: [doccscontracts@doccs.ny.gov](mailto:doccscontracts@doccs.ny.gov)



## BID SIGNATURE PAGE

The bid must be fully and properly executed by an authorized person. By signing you certify your express authority to sign on behalf of yourself, your company, or other entity and full knowledge and acceptance of this INVITATION FOR BIDS, Appendix A (Standard Clauses For New York State Contracts), Appendix B (General Specifications), and State Finance Law §139-j and §139-k (Procurement Lobbying), and that all information provided is complete, true and accurate. By signing, bidder affirms that it understands and agrees to comply with DOCCS procedures relative to permissible contacts as required by State Finance Law §139-j(3) and §139-j(6)(b). Bidders are requested to retain Appendix A and Appendix B for future reference.

Procurement Lobbying information may be accessed at:

<http://www.ogs.ny.gov/aboutogs/regulations/defaultAdvisoryCouncil.html>

|   |      |       |                        |  |  |
|---|------|-------|------------------------|--|--|
| Legal Business Name of Company Bidding:   |      |       |                        | NYS Vendor Identification Number:<br>(see NYS vendor file registration clause) |  |
| D/B/A – Doing Business As (if applicable):  |      |       |                        | Federal Tax Identification Number:<br>(do not use Social Security Number)      |  |
| Street  | City | State | Zip                    | County   |  |
| <p>If applicable, place an "x" next to each that apply:</p> <p style="margin-left: 40px;"> <input type="checkbox"/> New York State Small Business<br/> <input type="checkbox"/> New York State Certified Minority-owned Business Enterprise (MBE)<br/> <input type="checkbox"/> New York State Certified Woman-owned Business Enterprise (WBE)         </p> <p>Vendor Responsibility Questionnaire Filed Online: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Do you understand and is your firm capable of meeting the insurance requirements to enter into a contract with New York State? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Does your bid proposal meet all the requirements of this solicitation? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> |      |       |                        |  |  |
| <p>If you are not bidding, place an "x" in the box and return this page only.</p> <p><input type="checkbox"/> WE ARE UNABLE TO BID AT THIS TIME BECAUSE _____</p> <p>_____</p> <p>_____</p>   |      |       |                        |  |  |
| Phone:<br>Fax:  |      |       | Toll Free Phone:       |  |  |
| E-mail Address:   |      |       | Company Web Site:      |  |  |
| Bidder's Signature:   |      |       | Printed or Typed Name: |  |  |
| Date:   |      |       | Title:                 |  |  |

**RETURN THIS PAGE AS PART OF THE BID**

DOCCS 00159



**INDIVIDUAL, CORPORATION, PARTNERSHIP, OR LLC ACKNOWLEDGMENT**

STATE OF

}

COUNTY OF

}

SS.:

}

On the \_\_\_\_ day of \_\_\_\_\_ in the year 20 \_\_, before me personally appeared

\_\_\_\_\_, known to me to be the person who executed the foregoing

instrument, who, being duly sworn by me did depose and say that **\_he** resides at

\_\_\_\_\_.

Town of \_\_\_\_\_,

County of \_\_\_\_\_, State of \_\_\_\_\_; and further that:

**[Check One]**☐ **If an individual):** **\_he** executed the foregoing instrument in his/her name and on his/her own behalf.

☐ **If a corporation):** **\_he** is the \_\_\_\_\_ of \_\_\_\_\_, the corporation described in said instrument; that, by authority of the Board of Directors of said corporation, **\_he** is authorized to execute the foregoing instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that authority, **\_he** executed the foregoing instrument in the name of and on behalf of said corporation as the act and deed of said corporation.

☐ **If a partnership):** **\_he** is the \_\_\_\_\_ of \_\_\_\_\_, the partnership described in said instrument; that, by the terms of said partnership, **\_he** is authorized to execute the foregoing instrument on behalf of the partnership for purposes set forth therein; and that, pursuant to that authority, **\_he** executed the foregoing instrument in the name of and on behalf of said partnership as the act and deed of said partnership.

☐ **If a limited liability company):** **\_he** is a duly authorized member of \_\_\_\_\_, LLC, the limited liability company described in said instrument; that **\_he** is authorized to execute the foregoing instrument on behalf of the limited liability company for purposes set forth therein; and that, pursuant to that authority, **\_he** executed the foregoing instrument in the name of and on behalf of said limited liability company as the act and deed of said limited liability company.

\_\_\_\_\_  
**Notary Public**  
**Registration No.**

## CHECKLIST

### IFB 2018-06 URINALYSIS ANALYZERS

All bidders must complete the checklist presented below and submit the following forms listed in the checklist as required for each bid submission.

#### SUBMISSION DOCUMENTS PACKAGE (SIGNATURES REQUIRED)

- ☐ This Checklist
- ☐ Completed Bid Signature Page (pages 2-3)
- ☐ Bidder's Federal Tax Identification Number
- ☐ NYS Vendor Identification Number
- ☐ Bidder's Signature
- ☐ Individual, Corporation, Partnership, or LLC Acknowledgement (*must be notarized*)
- ☐ Completed Procurement Lobbying Certification (page 8)
- ☐ Bid Response / Signature Page (pages 2)
- ☐ Bid Cost Sheet (pages 28-30)
- ☐ Notes to Bidders and Questions (pages 31-32)
- ☐ Vendor Responsibility Questionnaire – Check one of the following:
- ☐ Paper Submission
- OR**
- ☐ Electronic Filing - Certified Date: \_\_\_\_\_  
(*Must be certified within the last 6 months*)
- ☐ Non-Disclosure Form (Attachment B)
- ☐ Vendor Assurance of No Conflict of Interest or Detrimental Effect (Attachment C)
- ☐ Contractor Certification Forms (*Must Be Notarized*)
- ☐ Form ST-220-TD (*File Directly with the Department of NYS Tax & Finance*)
- ☐ Form ST-220-CA (*Submit with Bid*)
- ☐ M/WBE – Equal Employment Opportunity Policy Statement (Appendix C)
- ☐ Equal Employment Opportunity (EEO) Staffing Plan (Appendix C)

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Print Name: \_\_\_\_\_

Name of Company: \_\_\_\_\_

**RETURN THIS PAGE AS PART OF THE BID**

## GENERAL INFORMATION

### PURPOSE:

This Invitation for Bids (IFB) is issued by the New York State Department of Corrections and Community Supervision (DOCCS). The purpose of this bid is for DOCCS to obtain competitive prices for reagent rentals of bench top urinalysis analyzer services to be used in its correctional facilities for inmates. The bidder must also include the installation, training, technical support, and maintenance of equipment in DOCCS facilities.

### SPECIFICATIONS:

Detailed specifications for this solicitation are provided in the Scope of Services, page 25-26, in this IFB.

DOCCS intends to award one vendor a contract for this service. The term of this contract will be for a period of five (5) years, effective September 1, 2018 through August 31, 2023.

### INQUIRIES / ISSUING OFFICE:

All inquiries concerning this specification will be addressed to the following **Designated Contact**:

#### **PRIMARY CONTACT**

Marla Henriquez-Nepaulsingh  
 NYSDOCCS  
 Division of Support Operations / Contract  
 Procurement Unit  
 550 Broadway  
 Menands, NY 12204  
 Phone No.: 518-436-7886, ext. 3135  
 E-Mail: Doccscontracts@doccs.ny.gov

#### **SECONDARY CONTACT**

David Gambacorta  
 NYSDOCCS  
 Division of Support Operations / Contract  
 Procurement Unit  
 550 Broadway  
 Menands, NY 12204  
 Phone No.: 518-436-7886, ext. 3135  
 E-Mail: Doccscontracts@doccs.ny.gov

**Contacting someone else may result in rejection of bid – see “Procurement Lobbying Act”.**

All questions should be submitted in writing, citing the particular bid sections and paragraph number. Bidders are cautioned to read this document thoroughly to become familiar with all aspects of the bid. Prospective Bidders should note that all clarifications and exceptions including those relating to the terms and conditions of the contract are to be resolved prior to the submission of a bid. Answers to all questions of a substantive nature will be given to all Prospective Bidders in the form of a formal addendum which will become part of the ensuing contract. Bidders entering into a contract with the State are expected to comply with all the terms and conditions contained herein.

### KEY EVENTS/DATES:

|   |                   |
|---|-------------------|
| Invitation for Bids (IFB) Issued              | May 1, 2018       |
| Written Bidders' Questions Deadline           | May 11, 2018      |
| DOCCS Issues Answers to Questions (estimated) | May 15, 2018      |
| Bids Due to DOCCS                             | May 23, 2018      |
| Tentative Award Made (estimated)              | May 25, 2018      |
| Contract Start Date                           | September 1, 2018 |

### QUALIFICATION OF BIDDERS:

Bidders must be actively engaged in reagents drug testing/urinalysis analyzer services for a minimum of five (5) years.

## GENERAL INFORMATION

DOCCS reserves the right to investigate or make any inquiry into the capabilities of any bidder to properly perform under any resultant contract. See "Performance Qualifications," "Disqualification for Past Performance" and "Employees/Subcontractors/Agents" in Appendix B, Specifications.

### **REQUIREMENTS:**

- A. Contractor must be able to perform all of the services outlined in the, Scope of Services.
- B. Contractor will comply with all standards and appropriate regulations governing contracts with the State of New York (Appendix A – January 2014).
- C. No illegal drug use of any type or alcoholic beverages by the Contractor or its personnel shall be permitted in the performance of the contract.
- D. Contractor agrees to take all steps reasonably necessary to protect the secrecy of the Confidential Information, and to prevent the Confidential Information from falling into the public domain or into the possession of unauthorized persons. Such steps shall include keeping Confidential Information stored where only authorized personnel would have access.

**IMPORTANT NOTICE TO POTENTIAL BIDDERS:** Receipt of these bid documents does not indicate that the NYS Department of Corrections and Community Supervision (DOCCS) – Contract Procurement Unit (CPU) has pre-determined your company's qualifications to receive a contract award. Such determination will be made after the bid opening and will be based on our evaluation of your bid submission compared to the specific requirements and qualifications contained in these bid documents.

### **NOTICE TO BIDDERS:**

The DOCCS - Contract Procurement Unit (CPU) will receive bids pursuant to the provisions of Article XI of the State Finance Law or the provisions of the State Printing and Public Documents Law. The following procedures shall be used for bid submittals:

#### **1. BID PREPARATION**

Prepare your bid on this form using indelible ink. Print the name of your company on each page of the bid in the block provided. One copy of the bid is required, unless otherwise specified herein.

#### **2. BID SUBMISSION**

When submitting your bid, please submit complete original bid package, including all bidder questions and required certifications. You are not required to return Appendix A and Appendix B to this office. You may keep all those pages for your own reference.

#### **3. BID DELIVERY**

**Bidders assume all risks for timely, properly submitted deliveries.** Bidders are strongly encouraged to arrange for delivery of bids to DOCCS - CPU prior to the date of the bid opening. **LATE BIDS may be rejected. E-mail bid submissions are not acceptable and will not be considered.**

- **Bid envelopes**

The envelope containing a bid should be marked "**BID ENCLOSED**" and state the **Bid Number, Bid Opening Date, and Time** on the envelope containing the sealed bid. Failure to complete all information on the bid envelope may necessitate the premature opening of the bid and may compromise confidentiality. See "Bid Submission" in Appendix B, General Specifications. Bids shall be delivered to:

State of New York  
Department of Corrections and Community Supervision  
Division of Support Operations/Contract Procurement Unit  
Attention: Marla Henriquez-Nepaulsingh  
550 Broadway  
Menands, NY 12204  
IFB #2018-06 – Urinalysis Analyzers

## GENERAL INFORMATION

- **Hand deliveries**

Bidders must allow extra time to comply with the security procedures which may be in effect when hand delivering bids or using deliveries by independent courier services. **Bidders assume all risks for timely, properly submitted deliveries.**

### **NON-COLLUSIVE BIDDING CERTIFICATION:**

**(Reference: State Finance Law Section 139-d and Appendix A, Clause 7)**

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief:

(1) The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor;

(2) Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and

(3) No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not submit a bid for the purpose of restricting competition.

In the event that the bidder is unable to certify as stated above, the bidder shall provide a signed statement which sets forth in detail the reasons why the bidder is unable to furnish the certificate as required in accordance with State Finance Law Section 139-d(1)(b).

### **PROCUREMENT LOBBYING ACT:**

#### **SUMMARY OF POLICY AND PROHIBITIONS ON PROCUREMENT LOBBYING**

Pursuant to State Finance Law §§139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between DOCCS – CPU and an Offerer/bidder during the procurement \*process. An Offerer/bidder is restricted from making contacts from the earliest notice of intent to solicit offers/bids through final award and approval of the Procurement Contract by DOCCS – CPU and if applicable, the Office of General Services, and/or the Office of the State Comptroller (“restricted period”) to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law §139-j (3) (a). Designated staff, as of the date hereof, is identified on the first page of this solicitation. DOCCS – CPU employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the Offerer/bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the Offerer/bidder is debarred from obtaining governmental Procurement Contracts. Further information about these requirements can be found on the website: <http://ogs.ny.gov/Aboutogs/regulations/defaultAdvisoryCouncil.html>.

### **PROCUREMENT LOBBYING TERMINATION:**

DOCCS - CPU reserves the right to terminate this contract in the event it is found that the certification filed by the Offerer/bidder in accordance with New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, DOCCS – CPU may exercise its termination right by providing written notification to the Offerer/bidder in accordance with the written notification terms of this contract.

## PROCUREMENT LOBBYING CERTIFICATION

By signing, the offerer/bidder affirms that it understands and agrees to comply with the NYS Department of Corrections and Community Supervision (DOCCS) procedures relative to permissible contacts, as required by State Finance Law §139-j and §139-k.

Procurement Lobbying information can be accessed at:

<http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/sfl139-j.htm> and  
<http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/sfl139-k.htm>

Offeror affirms that it understands and agrees to comply with the procedures of the Government Entity relative to permissible Contacts as required by State Finance Law §139-j (3) and §139-j (6) (b).

By: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Contractor Name: \_\_\_\_\_

Contractor Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Prior Non-Responsibility Determinations – State Finance Law §139-k

1. Has any Government Entity made a finding of non-responsibility against this organization/company? **No** **Yes**
2. If yes, was the basis for the finding of non-responsibility due to a violation of SFL§139-j or due to the intentional provision of false or incomplete information to a Government Entity? **No** **Yes**
3. Has any Government Entity terminated or withheld a procurement contract with this organization/company due to the intentional provision of false or incomplete information? **No** **Yes**

*If yes to any of the above questions, provide complete details on a separate page and attach.*

### Offerer Certification:

I certify that all information provided to the Governmental Entity with respect to State Finance Law §139-k is complete, true and accurate.

By: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

### Procurement Lobbying Termination

DOCCS reserves the right to terminate this contract in the event it is found that the certification filed by the Offeror/bidder in accordance with New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, DOCCS may exercise its termination right by providing written notice to the Offeror/bidder in accordance with the written notification terms of the contract.

**RETURN THIS PAGE AS PART OF THE BID**

DOCCS 00165

## GENERAL INFORMATION

### **TAX LAW § 5-A:**

TAX LAW § 5-A (Amended April 26, 2006):

Tax Law § 5-a, as amended on April 26, 2006, requires certain contractors who are awarded state contracts for commodities and/or services valued at more than REDACTED (over the full term of the contract, excluding renewals) to certify to the Department of Taxation and Finance (DTF) they are registered to collect New York State (NYS) and local sales and compensating use taxes. The law applies to contracts where the total amount of the contractor's sales delivered into NYS exceed REDACTED for the four quarterly periods immediately preceding the quarterly period when the certification is made; and with respect to any affiliates and subcontractors whose sales delivered into NYS also exceed REDACTED in the same manner as noted above for the contractor.

This law imposes upon certain contractors the obligation to certify whether or not the contractor, its affiliates, and its subcontractors are required to register to collect state sales and compensating use tax. The contractors must certify to DTF that each affiliate and subcontractor exceeding the sales threshold is registered with DTF to collect such State and local sales and compensating use taxes. The law prohibits the Comptroller, or other approving agency, from approving a contract to a vendor who is not registered in accordance with the law.

There are two (2) Contractor certification forms, with instructions, attached to this bid. **Form ST-220-TD is to be removed from this bid and submitted directly to DTF. Submission to DTF is a one-time occurrence. If you have already submitted this form to DTF for other bidding opportunities, you do not need to submit the form attached to this bid. If, however, any certification information changes, a new ST-220-TD must be filed with DTF. Form ST-220-CA must be completed and submitted with this bid. This form certifies to the procuring agency that the contractor has filed ST-220-TD with DTF in compliance with the law.**

Bidders should complete and submit the certification forms within two business days of request (if the forms are not submitted to DTF and/or and returned with bid). Bidders shall take the necessary steps to provide properly certified forms within a timely manner to ensure compliance with the law, as failure to do so may render a bidder non-responsive and non-responsible.

Vendors may call DTF at 1-800-698-2909 for any and all questions relating to Tax Law § 5-a and relating to a company's registration status with DTF. For additional information and frequently asked questions, please refer to the DTF web site: <http://www.tax.ny.gov>.

### **TERMINATION FOR VIOLATION OF Revised Tax Law 5a:**

NYS DOCCS reserves the right to terminate this contract in the event it is found that the certification filed by the Contractor in accordance with § 5-a of the Tax Law is not timely filed during the term of the contract or the certification furnished was intentionally false or intentionally incomplete. Upon such finding, (facility name) may exercise its termination right by providing written notification to the Contractor.

### **DISPUTE RESOLUTION POLICY:**

It is the policy of the DOCCS – CPU and the Office of the State Comptroller to provide vendors with an opportunity to administratively resolve disputes, complaints or inquiries related to NYS bid solicitations or contract awards. DOCCS – CPU and the Office of the State Comptroller encourages vendors to seek resolution of disputes through consultation with DOCCS – CPU staff. All such matters will be accorded impartial and timely consideration. Interested parties may also file formal written disputes.

### **DEBRIEFING:**

Bidders will be accorded fair and equal treatment with respect to their opportunity for debriefing. Disclosure of the content of competing bids other than statistical tabulations of bids received in response to an IFB, is prohibited prior to contract award. Prior to final contract award, DOCCS-CPU shall, upon request, provide a debriefing which would be limited to review of that bidder's proposal or bid. Requests for a debriefing prior to final contract award by an unsuccessful bidder(s) must be addressed to DOCCS - CPU in writing. The debriefing prior to final contract award must be requested in writing within 15 calendar days of notification that the bidder's submission was unsuccessful.

After final contract award, DOCCS-CPU shall, upon request, provide a debriefing to any bidder that responded to the IFB, regarding the reason that the proposal or bid submitted by the unsuccessful bidder was not selected for a contract award. Requests for debriefing by an unsuccessful bidder(s) must be addressed to DOCCS-CPU in writing. The post-award debriefing should be required in writing by the bidder within 30 calendar days of contract approval by OSC.



## GENERAL INFORMATION

### **APPENDIX A:**

Appendix A, Standard Clauses For New York State Contracts, dated January 2014, attached hereto, is hereby expressly made a part of this Bid Document as fully as if set forth at length herein. **Please retain this document for future reference.**

### **APPENDIX B:**

Appendix B, General Specifications (Commodities and Non-Technology Services), dated August 2012, attached hereto, is hereby expressly made a part of this Bid Document as fully as if set forth at length herein and shall govern any situations not covered by this Bid Document or Appendix A. **Please retain this document for future reference.**

### **APPENDIX C:**

Appendix C, CONTRACTOR REQUIREMENTS FOR EEO AND MWBE, attached hereto expressly made a part of this Bid Document as fully as if set forth at length herein and shall govern any situations not covered by this Bid Document or Appendix A. **Please retain this document for future reference.**

### **CONFLICT OF TERMS AND CONDITIONS:**

Conflicts between documents shall be resolved in the following order of precedence:

- a. Appendix A
- b. This Invitation for Bids
- c. Appendix B
- d. Appendix C
- e. Bidder's Bid

### **CONTRACTOR REQUIREMENTS FOR EEO AND MWBE:**

CONTRACTOR REQUIREMENTS AND PROCEDURES FOR PARTICIPATION BY NEW YORK STATE CERTIFIED MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES AND EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN

New York State Law: Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations DOCCS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of DOCCS contracts.

#### **Business Participation Opportunities for MWBEs**

For purposes of this solicitation, DOCCS hereby establishes an overall goal of 0% for MWBE participation, 0% for New York State-certified Minority-owned Business Enterprise ("MBE") participation and 0% for New York State-certified Women-owned Business Enterprise ("WBE") participation (based on the current availability of MBEs and WBEs). A contractor ("Contractor") on any contract resulting from this procurement ("Contract") must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors and suppliers in the performance of the Contract. To that end, by submitting a response to this IFB, the bidder agrees that DOCCS may withhold payment pursuant to any Contract awarded as a result of this IFB pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how DOCCS will evaluate a Contractor's "good faith efforts," refer to 5 NYCRR § 142.8.

The bidder understands that only sums paid to MWBEs for the performance of a commercially useful function, as that term is defined in 5 NYCRR § 140.1, may be applied towards the achievement of the applicable MWBE participation goal.

The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be 25 percent of the total value of the contract.

In accordance with 5 NYCRR § 142.13, the bidder further acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in a Contract resulting from this solicitation, such finding constitutes a breach of contract and DOCCS may withhold payment as liquidated damages.



## GENERAL INFORMATION

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

By submitting a bid or proposal, a bidder agrees to demonstrate its good faith efforts to achieve the applicable MWBE participation goals by submitting evidence thereof through the New York State Contract System ("NYSCS"), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that a bidder may arrange to provide such evidence via a non-electronic method by contacting the designated contact(s) for this procurement. Additionally, a bidder will be required to submit the following documents and information as evidence of compliance with the foregoing:

1. An MWBE Utilization Plan with their bid or proposal. Any modifications or changes to an accepted MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to DOCCS for review and approval.

DOCCS will review the submitted MWBE Utilization Plan and advise the bidder of DOCCS acceptance or issue a notice of deficiency within 30 days of receipt.

2. If a notice of deficiency is issued, the bidder will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to DOCCS, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by DOCCS to be inadequate, DOCCS shall notify the bidder and direct the bidder to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

DOCCS may disqualify a bidder as being non-responsive under the following circumstances:

- a) If a bidder fails to submit an MWBE Utilization Plan;
- b) If a bidder fails to submit a written remedy to a notice of deficiency;
- c) If a bidder fails to submit a request for waiver; or
- d) If DOCCS determines that the bidder has failed to document good faith efforts.

The successful bidder will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to DOCCS, but must be made no later than prior to the submission of a request for final payment on the Contract.

The successful bidder will be required to submit a quarterly M/WBE Contractor Compliance & Subcontractor Payment Report to DOCCS, by the 10<sup>th</sup> day following each end of quarter as applicable over the term of the Contract documenting the progress made toward achievement of the MWBE goals of the Contract.

### **Equal Employment Opportunity Requirements**

By submission of a bid or proposal in response to this solicitation, the bidder agrees with all of the terms and conditions of Appendix A – Standard Clauses for All New York State Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women. The bidder is required to ensure that it and any subcontractors awarded a subcontract for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the bidder, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

The bidder will be required to submit a Minority and Women-owned Business Enterprise and Equal Employment Opportunity Policy Statement to DOCCS with its bid or proposal.

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If awarded a Contract, bidder shall submit a Workforce Utilization Report and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by DOCCS on a quarterly basis as required during the term of the Contract.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

**Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.**

## **USE OF SERVICE-DISABLED VETERAN-OWNED BUSINESS ENTERPRISES IN CONTRACT PERFORMANCE**

Article 17-B of the Executive Law enacted in 2014 acknowledges that Service-Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economies of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at [http://ogs.ny.gov/Core/docs/CertifiedNYS\\_SDVOB.pdf](http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf).

For purposes of this procurement, the DOCCS hereby establishes an overall goal of 0% for SDVOB participation based on the current availability of qualified SDVOBs. Bidders/proposers need to be aware that all authorized users of this contract will be strongly encouraged to the maximum extent practical and consistent with legal requirements of the State Finance Law and the Executive Law to use responsible and responsive SDVOBs in purchasing and utilizing commodities, services and technology that are of equal quality and functionality to those that may be obtained from non-SDVOBs. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses consistent with current State law.

Utilizing SDVOBs in State contracts will help create more private sector jobs, rebuild New York State's infrastructure, and maximize economic activity to the mutual benefit of the contractor and its SDVOB partners. SDVOBs will promote the contractor's optimal performance under the contract, thereby fully benefiting the public-sector programs that are supported by associated public procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of SDVOBs by its contractors. The State, therefore, expects bidders/proposers to provide maximum assistance to SDVOBs in their contract performance. The potential participation by all kinds of SDVOBs will deliver great value to the State and its taxpayers.

## **FREEDOM OF INFORMATION LAW / TRADE SECRETS:**

During the evaluation process, the content of each bid will be held in confidence and details of any bid will not be revealed (except as may be required under the Freedom of Information Law or other State law). The Freedom of Information Law provides for an exemption from disclosure for trade secrets or information the disclosure of which would cause injury to the competitive position of commercial enterprises. This exemption would be effective both during and after the evaluation process.

Should you feel your firm's bid contains any such trade secrets or other confidential or proprietary information, you must submit a request to exempt such information from disclosure. Such request must be in writing, must state the reasons why the information should be exempt from disclosure and must be provided at the time of submission of the subject information.

Requests for exemption of the entire contents of a bid from disclosure have generally not been found to be meritorious and are discouraged. Kindly limit any requests for exemption of information from disclosure to bona fide trade secrets or specific information, the disclosure of which would cause a substantial injury to the competitive position of your firm.

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### **NEW YORK STATE VENDOR FILE REGISTRATION:**

Prior to being awarded a contract pursuant to this Solicitation, the Bidder(s) and any designated authorized resellers who accept payment directly from the State, must be registered in the New York State Vendor File (Vendor File) administered by the Office of the State Comptroller (OSC). This is a central registry for all vendors who do business with New York State Agencies and the registration must be initiated by a State Agency. Following the initial registration, unique New York State ten-digit vendor identification numbers will be assigned to your company and to each of your authorized resellers (if any) for usage on all future transactions with New York State. Additionally, the Vendor File enables vendors to use the Vendor Self-Service application to manage all vendor information in one central location for all transactions related to the State of New York. If Bidder is already registered in the New York State Vendor File, list the ten-digit vendor ID number on the Bid Proposal Form (Attachment 1). Authorized resellers already registered should list the ten-digit vendor ID number along with the authorized reseller information.

If the Bidder is not currently registered in the Vendor File and is recommended for award, DOCCS shall request completion of OSC Substitute W-9 Form. A fillable form with instructions can be found at the link below. In addition, if authorized resellers are to be used, an OSC Substitute W-9 form should be completed by each of the designated authorized resellers and submitted to the Office of General Services Business Services Center. The Office of General Services Business Services Center will initiate the vendor registration process for all Bidders recommended for Contract Award and their authorized resellers. Once the process is initiated, registrants will receive an email from OSC that includes the unique ten-digit vendor identification number assigned to the company and instructions on how to enroll in the online Vendor Self-Service application. For more information on the vendor file please visit the following website:

[http://www.osc.state.ny.us/vendor\\_management](http://www.osc.state.ny.us/vendor_management)

Form to be completed: [http://www.osc.state.ny.us/vendors/forms/ac3237\\_fe.pdf](http://www.osc.state.ny.us/vendors/forms/ac3237_fe.pdf)

### **NYS VENDOR RESPONSIBILITY QUESTIONNAIRE:**

DOCCS conducts a review of prospective contractors ("Bidders") to provide reasonable assurances that the Bidder is responsive and responsible. A Questionnaire is used for non-construction contracts and is designed to provide information to assess a Bidder's responsibility to conduct business in New York based upon financial and organizational capacity, legal authority, business integrity, and past performance history. By submitting a bid, Bidder agrees to fully and accurately complete the "Questionnaire." The Bidder acknowledges that the State's execution of the Contract will be contingent upon the State's determination that the Bidder is responsible, and that the State will be relying upon the Bidder's responses to the Questionnaire when making its responsibility determination.

DOCCS recommends each Bidder file the required Questionnaire online via the New York State VendRep System. To enroll in and use the VendRep System, please refer to the VendRep System Instructions and User Support for Vendors available at the Office of the State Comptroller's (OSC) website, [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm) or to enroll, go directly to the VendRep System online at <https://portal.osc.state.ny.us>

OSC provides direct support for the VendRep System through user assistance, documents, online help, and a help desk. The OSC Help Desk contact information is located at <http://www.osc.state.ny.us/portal/contactbuss.htm>. Bidders opting to complete the paper questionnaire can access this form and associated definitions via the OSC website at: [http://www.osc.state.ny.us/vendrep/forms\\_vendor.htm](http://www.osc.state.ny.us/vendrep/forms_vendor.htm)

The Contractor must remain a responsible vendor throughout the duration of the contract and, if at any time the Contractor is found to be not responsible or there is a question as to the vendor's responsibility, any activities pursuant to the contract may be suspended. Finally, the contract may be terminated following a finding of non-responsibility.

To assist the State in determining the responsibility of the Bidder, the Bidder should complete and certify (or recertify) the Questionnaire no more than six (6) months prior to the bid due date.

A Bidder's Questionnaire cannot be viewed by DOCCS until the Bidder has certified the Questionnaire. It is recommended that all Bidders become familiar with all of the requirements of the Questionnaire in advance of the bid opening to provide sufficient time to complete the Questionnaire.

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The Bidder agrees that if it is found by the State that the Bidder's responses to the Questionnaire were intentionally false or intentionally incomplete, on such finding, DOCCS may terminate the Contract. In no case shall such termination of the Contract by the State be deemed a breach thereof, nor shall the State be liable for any damages for lost profits or otherwise, which may be sustained by the Contractor as a result of such termination.

The CONTRACTOR shall at all times during the Contract term remain responsible. The CONTRACTOR agrees, if requested by the Commissioner of DOCCS or his designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.

The DOCCS Commissioner or his designee, in his or her sole discretion, reserves the right to suspend any or all activities under this Contract, at any time, when he or she discovers information that calls into question the responsibility of the Contractor. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the DOCCS Commissioner or his designee issues a written notice authorizing a resumption of performance under the Contract.

### **CONFLICT OF INTEREST:**

Bidder must disclose any existing or contemplated relationship with any other person or entity, including relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the Respondent or former officers and employees of the Agencies and their Affiliates, in connection with your rendering services enumerated in this IFB. If a conflict does or might exist, please describe how your Staffing Firm would eliminate or prevent it. Indicate what procedures will be followed to detect, notify the Agencies of, and resolve any such conflicts.

Bidder must disclose whether it, or any of its members, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Additionally, a bidder will be required to submit the ***Vendor Assurance of No Conflict of Interest or Detrimental Effect*** form located within this IFB as evidence of compliance with the foregoing.

### **PUBLIC OFFICERS LAW:**

Contractors, consultants, vendors, and subcontractors may hire former State Agency or Authority employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of the State Agency or Authority may neither appear nor practice before the State Agency or Authority, nor receive compensation for services rendered on a matter before the State Agency or Authority, for a period of two years following their separation from State Agency or Authority service. In addition, former State Agency or Authority employees are subject to a "lifetime bar" from appearing before the State Agency or Authority or receiving compensation for services regarding any transaction in which they personally participated or which was under their active consideration during their tenure with the State Agency or Authority.

### **ETHICS REQUIREMENTS:**

The Contractor and its Subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). The Contractor certifies that all of its employees and those of its Subcontractors who are former employees of the State and who are assigned to perform services under this Contract shall be assigned in accordance with all Ethics Requirements. During the Term, no person who is employed by the Contractor or its Subcontractors and who is disqualified from providing services under this Contract pursuant to any Ethics Requirements may share in any net revenues of the Contractor or its Subcontractors derived from this Contract. The Contractor shall identify and provide the State with notice of those employees of the Contractor and its Subcontractors who are former employees of the State that will be assigned to perform services under this Contract, and make sure that such employees comply with all



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applicable laws and prohibitions. The State may request that the Contractor provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. The State shall have the right to withdraw or withhold approval of any Subcontractor if utilizing such Subcontractor for any work performed hereunder would be in conflict with any of the Ethics Requirements. The State shall have the right to terminate this Contract at any time if any work performed hereunder is in conflict with any of the Ethics Requirements.

### **SUBCONTRACTING:**

The Contractor agrees not to subcontract any of its services, unless as indicated in its bid, without the prior written approval of the DOCCS. Approval shall not be unreasonably withheld upon receipt of written request to subcontract.

The Contractor may arrange for a portion/s of its responsibilities to be subcontracted to qualified, responsible subcontractors, subject to approval of the DOCCS. If the Contractor determines to subcontract a portion of the services, the subcontractors must be clearly identified and the nature and extent of its involvement in and/or proposed performance must be fully explained by the Contractor to the DOCCS. As part of this explanation, the subcontractor must submit to the DOCCS a completed *Vendor Assurance of No Conflict of Interest or Detrimental Effect* form, as required by the Contractor prior to execution of a contract.

The Contractor retains ultimate responsibility for all services performed under a contract.

All subcontracts shall be in writing and shall contain provisions, which are functionally identical to, and consistent with, the provisions of this IFB. Unless waived in writing by DOCCS, all subcontracts between the Contractor and subcontractors shall expressly name DOCCS as the sole intended third party beneficiary of such subcontract. DOCCS reserves the right to review and approve or reject any subcontract, as well as any amendment to said subcontract(s), and this right shall not make DOCCS a party to any subcontract or create any right, claim, or interest in the subcontractor or proposed subcontractor against DOCCS.

DOCCS reserves the right, at any time during the contract term to verify that the written subcontract between the Contractor and subcontractors is in compliance with all of the provisions of this Section and any subcontract provisions contained in this IFB.

The Contractor shall give DOCCS immediate notice in writing of the initiation of any legal action or suit which relates in any way to a subcontract with a subcontractor or which may affect the performance of the Contractor's duties under a contract. Any subcontract shall not relieve the Contractor in any way of any responsibility, duty and/or obligation of a contract.

If at any time during performance under the contract the total compensation to a subcontractor exceeds or is expected to exceed REDACTED that subcontractor shall be required to submit and certify a Vendor Responsibility Questionnaire.

### **PRICE:**

Bidders must submit pricing using the Bid Cost Sheet (see page 27). Bidders are required to submit pricing for all line items to be considered for contract award. Any alteration to the Bid Cost Sheet may result in the disqualification of bid.

DOCCS conducts approximately 340,000 scans (84,165 x 4 + 3,340) for illicit substances using 5 reagent tests at 52 locations annually. A normal scan consists of THC (50ng/ml cutoff), Opiate (300 ng/ml cutoff), Buprenorphine (5 ng/ml cutoff), and Synthetic Cannabinoids XLR-11/UR-144 (10ng/ml cutoff). Additionally, work release facilities conduct scans for the use of ethyl alcohol (3,340), which is included in the above number of tests and scans. These reagents will be worth 88% of the total weighted bid price.

There are 27 Other Reagents (totaling 14,850 tests) listed on the bid cost sheet that DOCCS may require testing during the contract period. Please note, DOCCS is not currently testing for all of the substances listed. However, based on possible changes in the drug world, should the need arise, DOCCS asks bidders

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for pricing on other known reagents for future testing ability.” These other reagents will only be worth 2% of the total weighted bid price.

Bidder's bid price shall be inclusive of the following: licenses, insurance, administrative, profit, all labor and equipment costs, reporting or other requirements, all overhead costs, and other ancillary costs. Details of service not explicitly stated in these specifications, but necessarily attendant thereto are deemed to be understood by the Bidder and included herein.

For evaluation purposes, the total cost of training will be worth 10% of the total weighted bid price.

### **METHOD OF AWARD:**

Award shall be made by Grand Total Weighted Bid Price to the **lowest responsive and responsible bidder** as calculated on the Bid Cost Sheet.

**Upon award, Contractor will have until 11/30/18 to install equipment and complete training.**

### **MINOR DEVIATIONS (s)/MINOR TECHNICALITY:**

DOCCS reserves the right to have the flexibility to consider bids with minor deviations or technicalities and to waive minor deviations or technicalities that may be consistent with the intent and scope of the solicitation. The flexibility may permit a reasonable outcome in cases where the results of a fair, competitive process are clear but the award of a contract is threatened due to a minor technicality or a minor deviation.

### **“OR EQUAL”:**

The State reserves the right to determine if a product/service is 'equal' to bid specifications. Bids with minor deviations or technicalities may be waived if consistent with the intent and scope of the solicitation. The flexibility may permit a reasonable outcome in cases where the results of a fair, competitive process are clear but the award of a contract is threatened due to a minor technicality or a minor deviation.

### **CONTRACT PAYMENTS:**

Contractor shall provide complete and accurate billing invoices to the Agency in order to receive payment. Billing invoices submitted to the Agency must contain all information and supporting documentation required by the Contract, the Agency and the State Comptroller. Payment for invoices submitted by the Contractor shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The Contractor shall comply with the State Comptroller's procedures to authorize electric payments. Authorization forms are available at the State Comptroller's website at [www.osc.state.ny.us/epay/index.htm](http://www.osc.state.ny.us/epay/index.htm), by email at [epunit@osc.state.ny.us](mailto:epunit@osc.state.ny.us), or by telephone at (518) 474-4032. Contractor acknowledges that it will not receive payment on any invoices submitted under this Contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

### **BILLING:**

Invoices should be sent to the ordering Correctional Facility, address, attention: Accounts Payable. Payment will be based on an invoice used in the supplier's normal course of business. Invoices must contain the Contract No., description of materials, quantity, unit and price per unit as well as the Federal Identification Number and New York State Vendor ID.

If unable to email invoices, mail them to the Business Services Center address at:

Dept. of Corrections and Community Supervision  
Unit ID: 3250226  
c/o OGS BSC Accounts Payable  
Building 5, 5th floor  
1220 Washington Ave  
Albany, NY 12226-1900

## GENERAL INFORMATION

Invoices should be sent to the Office of General Services' (OGS) Business Services Center (BSC) within ten (10) business days after the first day of the following month.

### **INTEREST:**

Interest on late payment is governed by State Finance Law, Section 179-M.

### **CONTRACT PERIOD:**

The contract awarded as a result of this IFB shall commence on September 1, 2018, or upon approval of the Office of the State Comptroller (OSC), whichever date is later, and will continue for five (5) years from the commencement date.

### **REJECTION:**

The State reserves the right to reject an obviously unbalanced bid or to make "NO AWARD" on individual listings or sub-items if individual bid prices are deemed to be unbalanced or excessive or if an error in the solicitation becomes evident. In such case, ranking and evaluation of bids may be made on remaining items. Award would be made on the remaining items. The determination of an unbalanced bid shall be at the sole discretion of the State. Options contained in this paragraph shall also be at the State's sole discretion.

### **CANCELLATION FOR CAUSE AND CONVENIENCE:**

This agreement may be terminated by mutual agreement upon thirty (30) days written notice. Also, DOCCS – CPU may terminate the agreement immediately for cause, upon written notice, if the contractor fails to comply with the terms and conditions of this agreement and/or with any laws, rules, regulations, policies or procedures of the State of New York affecting this agreement.

The State of New York retains the right to cancel this contract, in whole or in part without reason provided that the Contractor is given at least thirty (30) day notice of its intent to cancel. This provision should not be understood as waiving the State's right to terminate the contract for cause or stop work immediately for unsatisfactory work, but is supplementary to that provision. Any such cancellation shall have no effect on existing Agency agreements, which are subject to the same 30-day discretionary cancellation or cancellation for cause by the respective user Agencies.

### **CONTRACTOR INSURANCE REQUIREMENTS:**

Prior to the commencement of the work to be performed by the Contractor hereunder, the Contractor shall file with The People of the State of New York, DOCCS, Certificates of Insurance (hereinafter referred to as "Certificates"), evidencing compliance with all requirements. Such Certificates shall be of a form and substance acceptable to DOCCS.

Certificate acceptance and/or approval by DOCCS does not and shall not be construed to relieve Contractor of any obligations, responsibilities or liabilities under the Contract.

Contractors shall be required to procure, at their sole cost and expense, and shall maintain in force at all times during the term of any Contract resulting from this Solicitation, policies of insurance as required by this Section. All insurance required by this Section shall be written by companies that have an A.M. Best Company rating of "A-," Class "VII" or better. In addition, companies writing insurance intended to comply with the requirements of this Section should be licensed or authorized by the New York State Department of Financial Services to issue insurance in the State of New York. DOCCS may, in its sole discretion, accept policies of insurance written by a non-authorized carrier or carriers when certificates and/or other policy documents are accompanied by a completed Excess Lines Association of New York (ELANY) affidavit or other documents demonstrating the company's strong financial rating. If, during the term of a policy, the carrier's A.M. Best rating falls below "A-," Class "VII," the insurance must be replaced, on or before the renewal date of the policy, with insurance that meets the requirements above.

Bidders and Contractors shall deliver to DOCCS evidence of the insurance required by this Solicitation and any Contract resulting from this Solicitation in a form satisfactory to DOCCS. Policies must be written in accordance with the requirements of the paragraphs below, as applicable. While acceptance of insurance documentation shall not be unreasonably withheld, conditioned or delayed, acceptance and/or approval by DOCCS does not, and shall not be construed to, relieve Bidders or Contractors of any obligations, responsibilities or liabilities under this Solicitation or any Contract resulting from this Solicitation.



## GENERAL INFORMATION

The Contractor shall not take any action, or omit to take any action that would suspend or invalidate any of the required coverages during the term of the Contract.

A. General Conditions Applicable to Insurance. All policies of insurance required by this Solicitation or any Contract resulting from this Solicitation shall comply with the following requirements:

1. **Coverage Types and Policy Limits.** The types of coverage and policy limits required from Bidders and Contractors are specified in Paragraph B Insurance Requirements below.
2. **Policy Forms.** Except as otherwise specifically provided herein, or agreed to in the Contract resulting from this Solicitation, all policies of insurance required by this Section shall be written on an occurrence basis.

### Certificates of Insurance/Notices

Bidders and Contractors shall provide DOCCS with a Certificate or Certificates of Insurance, in a form satisfactory to DOCCS as detailed below, and pursuant to the timelines set forth in Section B below. Certificates shall reference the Solicitation or award number and shall name The New York State Department of Corrections and Community Supervision, Harriman Campus, Division of Support Operations – Contract Procurement Unit, 550 Broadway, Menands, NY 12204, as the certificate holder.

### Certificates of Insurance shall

- Be in the form acceptable to DOCCS and in accordance with the New York State Insurance Law;
- Disclose any deductible, self-insured retention, aggregate limit or exclusion to the policy that materially changes the coverage required by this Solicitation or any Contract resulting from this Solicitation;
- Refer to this Solicitation and any Contract resulting from this Solicitation by award number;
- Be signed by an authorized representative of the referenced insurance carriers; and
- Contain the following language in the Description of Operations / Locations / Vehicles section: Additional insured protection afforded is on a primary and non-contributory basis. A waiver of subrogation is granted in favor of the additional insureds.

Only original documents (certificates of insurance and any endorsements and other attachments) or electronic versions of the same that can be directly traced back to the insurer, agent or broker via e-mail distribution or similar means will be accepted.

DOCCS generally requires Contractors to submit only certificates of insurance and additional insured endorsements, although DOCCS reserves the right to request other proof of insurance. Contractors should refrain from submitting entire insurance policies, unless specifically requested by DOCCS. If an entire insurance policy is submitted but not requested, DOCCS shall not be obligated to review and shall not be chargeable with knowledge of its contents. In addition, submission of an entire insurance policy not requested by DOCCS does not constitute proof of compliance with the insurance requirements and does not discharge Contractors from submitting the requested insurance documentation.

3. **Primary Coverage.** All liability insurance policies shall provide that the required coverage shall be primary and non-contributory to other insurance available to the People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. Any other insurance maintained by the People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees shall be excess of all applicable Contractor's insurance, including any umbrella and/or excess policies, and shall not contribute with the Bidder/Contractor's insurance.
4. **Breach for Lack of Proof of Coverage.** The failure to comply with the requirements of this Section at any time during the term of the Contract shall be considered a breach of the terms of the Contract and shall allow the People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees to avail themselves of all remedies available under the Contract or at law or in equity.

## GENERAL INFORMATION

5. **Self-Insured Retention/Deductibles.** Certificates of Insurance must indicate the applicable deductibles/self-insured retentions for each listed policy. Deductibles or self-insured retentions above **REDACTED** are subject to approval from DOCCS. Such approval shall not be unreasonably withheld, conditioned or delayed. Bidders and Contractors shall be solely responsible for all claim expenses and loss payments within the deductibles or self-insured retentions. If the Bidder/Contractor is providing the required insurance through self-insurance, evidence of the financial capacity to support the self-insurance program along with a description of that program, including, but not limited to, information regarding the use of a third-party administrator shall be provided upon request. If the Contractor is unable to meet their obligation under any deductible, self-insured retention or self-insurance, neither the People of the State of New York nor DOCCS will be obligated to drop down to cover those amounts.
6. **Subcontractors.** Prior to the commencement of any work by a Subcontractor, the Contractor shall require such Subcontractor to procure policies of insurance as required by this Section and maintain the same in force during the term of any work performed by that Subcontractor.
7. **Waiver of Subrogation.** For all liability policies and the workers' compensation insurance required below, the Bidder/Contractor shall cause to be included in its policies insuring against loss, damage or destruction by fire or other insured casualty a waiver of the insurer's right of subrogation against The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees, or, if such waiver is unobtainable (i) an express agreement that such policy shall not be invalidated if the Contractor waives or has waived before the casualty, the right of recovery against The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees or (ii) any other form of permission for the release of The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. A Waiver of Subrogation Endorsement shall be provided upon request. A blanket Waiver of Subrogation Endorsement evidencing such coverage is also acceptable.
8. **Additional Insured.** The Contractor shall cause to be included in each of the liability policies required below, ISO form CG 20 10 11 85 (or a form or forms that provide equivalent coverage, such as the combination of CG 20 10 04 13 and CG 20 37 04 13) and form CA 20 48 10 13 (or a form or forms that provide equivalent coverage), naming as additional insureds: The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. An Additional Insured Endorsement evidencing such coverage shall be provided to DOCCS pursuant to the timelines set forth in Section B below. A blanket Additional Insured Endorsement evidencing such coverage is also acceptable. For Contractors who are self-insured, the Contractor shall be obligated to defend and indemnify the above-named additional insureds with respect to Commercial General Liability and Business Automobile Liability, in the same manner that the Contractor would have been required to pursuant to this Section had the Contractor obtained such insurance policies.
9. **Excess/Umbrella Liability Policies.** Required insurance coverage limits may be provided through a combination of primary and excess/umbrella liability policies; however, a minimum of one million dollars **REDACTED** must be primary coverage for general liability and auto liability. All Contractor's applicable insurance policies, including umbrella and excess insurance, will be primary to any insurance, self-insurance, deductible or self-insured retention of The People of the State of New York, the New York State Department of Corrections and Community Supervision, or any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. If coverage limits are provided through excess/umbrella liability policies, then a Schedule of underlying insurance listing policy information for all underlying insurance policies (insurer, policy number, policy term, coverage and limits of insurance), including proof that the excess/umbrella insurance follows form must be provided upon request.
10. **Notice of Cancellation or Non-Renewal.** Policies shall be written so as to include the requirements for notice of cancellation or non-renewal in accordance with the New York State Insurance Law. Within five (5) business days of receipt of any notice of cancellation or non-renewal of insurance, the Contractor shall provide DOCCS with a copy of any such notice received from an insurer together with proof of replacement coverage that complies with the insurance requirements of this Solicitation and any Contract resulting from this Solicitation.



## GENERAL INFORMATION

11. **Policy Renewal/Expiration** Upon policy renewal/expiration, evidence of renewal or replacement of coverage that complies with the insurance requirements set forth in this Solicitation and any Contract resulting from this Solicitation shall be delivered to DOCCS. If, at any time during the term of any Contract resulting from this Solicitation, the coverage provisions and limits of the policies required herein do not meet the provisions and limits set forth in this Solicitation or any Contract resulting from this Solicitation, or proof thereof is not provided to DOCCS, the Contractor shall immediately cease work. The Contractor shall not resume work until authorized to do so by DOCCS.
12. **Deadlines for Providing Insurance Documents after Renewal or Upon Request.** As set forth herein, certain insurance documents must be provided to the DOCCS Procurement Services contact identified in the Contract Award Notice after renewal or upon request. This requirement means that the Contractor shall provide the applicable insurance document to DOCCS as soon as possible but in no event later than the following time periods:
- For certificates of insurance: 5 business days
  - For information on self-insurance or self-retention programs: 15 calendar days
  - For other requested documentation evidencing coverage: 15 calendar days
  - For additional insured and waiver of subrogation endorsements: 30 calendar days

Notwithstanding the foregoing, if the Contractor shall have promptly requested the insurance documents from its broker or insurer and shall have thereafter diligently taken all steps necessary to obtain such documents from its insurer and submit them to DOCCS, DOCCS shall extend the time period for a reasonable period under the circumstances, but in no event shall the extension exceed 30 calendar days.

### B. Insurance Requirements

Bidders and Contractors shall obtain and maintain in full force and effect, throughout the term of any Contract resulting from this Solicitation, at their own expense, the following insurance with limits not less than those described below and as required by the terms of any Contract resulting from this Solicitation, or as required by law, whichever is greater:

| Insurance Type                            |                 | Proof of Coverage is Due                  |
|---|-----------------|---|
| Commercial General Liability              | <b>REDACTED</b> | Upon notice from DOCCS of tentative award |
| General Aggregate                         |                 |   |
| Products – Completed Operations Aggregate |                 |   |
| Personal and Advertising Injury           |                 |   |
| Medical Expenses Limit                    |                 |   |
| Business Automobile Liability Insurance   |                 |   |
| Workers' Compensation                     |                 |   |
| Disability Benefits                       |                 |   |

1. **Commercial General Liability Insurance:** Such liability shall be written on the current edition of ISO occurrence form CG 00 01, or a substitute form providing equivalent coverage and shall cover liability arising from premises operations, independent contractors, products-completed operations, broad form property damage, personal & advertising injury, cross liability coverage, liability assumed in a contract (including the tort liability of another assumed in a contract) [and explosion, collapse & underground coverage].

Policy shall include bodily injury, property damage and broad form contractual liability coverage.

- General Aggregate
- Products – Completed Operations Aggregate
- Personal and Advertising Injury
- Each Occurrence

## GENERAL INFORMATION

Coverage shall include, but not be limited to, the following:

- Premises liability;
- Independent contractors;
- Blanket contractual liability, including tort liability of another assumed in a contract;
- Defense and/or indemnification obligations, including obligations assumed under the Contract;
- Cross liability for additional insureds;
- Products/completed operations for a term of no less than three [1-3] years, commencing upon acceptance of the work, as required by the Contract;
- [Explosion, collapse and underground hazards; and
- Contractor means and methods].

2. **Business Automobile Liability Insurance:** Such insurance shall cover liability arising out of any automobile used in connection with performance under the Contract, including owned, leased, hired and non-owned automobiles bearing or, under the circumstances under which they are being used, required by the Motor Vehicles Laws of the State of New York to bear, license plates.

In the event that the Contractor does not own, lease or hire any automobiles used in connection with performance under the Contract, the Contractor does not need to obtain Business Automobile Liability Insurance, but must attest to the fact that the Contractor does not own, lease or hire any automobiles used in connection with performance under the Contract on a form provided by DOCCS. If, however, during the term of the Contract, the Contractor acquires, leases or hires any automobiles that will be used in connection with performance under the Contract, the Contractor must obtain Business Automobile Liability Insurance that meets all of the requirements of this section and provide proof of such coverage to DOCCS in accordance with the insurance requirements of any Contract resulting from this Solicitation.

In the event that the Contractor does not own or lease any automobiles used in connection with performance under the Contract, but the Contractor does subcontract, hire and/or utilize non-owned automobiles in connection with performance under the Contract, the Contractor, subcontractor or owner of the automobile(s) must: (i) obtain Business Automobile Liability Insurance as required by this Solicitation or any Contract resulting from this Solicitation, except that such insurance may be limited to liability arising out of hired and/or non-owned automobiles, as applicable; and (ii) attest to the fact that the Contractor does not own or lease any automobiles used in connection with performance under the Contract, on a form provided by DOCCS. If, however, during the term of the Contract, the Contractor acquires or leases any automobiles that will be used in connection with performance under the Contract, the Contractor must obtain Business Automobile Liability Insurance that meets all of the requirements of this Section and provide proof of such coverage to DOCCS in accordance with the insurance requirements of any Contract resulting from this Solicitation.

3. **Workers' Compensation Insurance and Disability Benefits Requirements**

Sections 57 and 220 of the New York State Workers' Compensation Law require the heads of all municipal and state entities to ensure that businesses applying for contracts have appropriate workers' compensation and disability benefits insurance coverage. These requirements apply to both original contracts and renewals. **Failure to provide proper proof of such coverage or a legal exemption will result in a rejection of a Bid or any contract renewal. A Bidder will not be awarded a Contract unless proof of workers' compensation and disability insurance is provided to DOCCS.** Proof of workers' compensation and disability benefits coverage, or proof of exemption must be submitted to DOCCS at the time of Bid submission, policy renewal, contract renewal, and upon request. Proof of compliance must be submitted on one of the following forms designated by the New York State Workers' Compensation Board. **An ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.**

Proof of Compliance with Workers' Compensation Coverage Requirements:

- Form CE-200, *Certificate of Attestation for New York Entities With No Employees and Certain Out of State Entities, That New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required*, which is available on the Workers' Compensation Board's website ([www.wcb.ny.gov](http://www.wcb.ny.gov));



## GENERAL INFORMATION

- Form C-105.2 (9/07), *Certificate of Workers' Compensation Insurance*, sent to DOCCS by the Contractor's insurance carrier upon request, or if coverage is provided by the New York State Insurance Fund, they will provide Form U-26.3 to DOCCS upon request from the Contractor; or
- Form SI-12, *Certificate of Workers' Compensation Self-Insurance*, available from the New York State Workers' Compensation Board's Self-Insurance Office, or
- Form GSI-105.2, *Certificate of Participation in Workers' Compensation Group Self-Insurance*, available from the Contractor's Group Self-Insurance Administrator.

### Proof of Compliance with Disability Benefits Coverage Requirements:

- Form CE-200, *Certificate of Attestation for New York Entities With No Employees and Certain Out of State Entities, That New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required*, which is available on the Workers' Compensation Board's website ([www.wcb.ny.gov](http://www.wcb.ny.gov));
- Form DB-120.1, *Certificate of Disability Benefits Insurance*, sent to DOCCS by the Contractor's insurance carrier upon request; or
- Form DB-155, *Certificate of Disability Benefits Self-Insurance*, available from the New York State Workers' Compensation Board's Self-Insurance Office.

An instruction manual clarifying the New York State Workers' Compensation Law requirements is available for download at the New York State Workers' Compensation Board's website, <http://www.wcb.ny.gov>. Once on the site, click on the Employers/Businesses tab and then click on Employers' Handbook.

## **INDEMNIFICATION:**

The Contractor shall assume all risks of liability for its performance, or that of any of its officers, employees, subcontractors or agents, of any contract resulting from this solicitation and shall be solely responsible and liable for all liabilities, losses, damages, costs or expenses, including attorney's fees, arising from any claim, action or proceeding relating to or in any way connected with the performance of this Agreement and covenants and agrees to defend, indemnify and hold harmless the State of New York, its agents, officers and employees, from any and all claims, suits, causes of action and losses of whatever kind and nature, arising out of or in connection with its performance of any contract resulting from this solicitation, including negligence, active or passive or improper conduct of the Contractor, its officers, agents, subcontractors or employees, or the failure by the Contractor, its officers, agents, subcontractors or employees to perform any obligations or commitments to the State or third parties arising out of or resulting from any contract resulting from this solicitation. Such indemnity shall not be limited to the insurance coverage herein prescribed.

## **REFERENCES:**

As per the "Vendor Responsibility Disclosure" clause, bidders may be required to provide references of the bidder's largest customers. References shall be commercial or governmental accounts, and should demonstrate the ability of the vendor to perform jobs similar in scope to the size, nature and complexity of the outlined bid. The references shall include the:

- Name, address, contact person, telephone number, fax number, and number of years bidder has serviced the referenced account;
- Volume of business performed within the past three years for each referenced account.

## **FINANCIAL STABILITY:**

As per the "Vendor Responsibility Disclosure" clause, bidder may be required to document its ability to service a contract with dollar sales volume similar to scope of this bid through submission of financial statements documenting past sales history. The bidder must be financially stable and able to substantiate the financial statements of its company. In addition to sales history, current financial statements may be requested and must be provided within five business days. The state reserves the right to request additional documentation from the bidder and to request reports on financial stability from independent financial rating services. The state reserves the right to reject any bidder who does not demonstrate financial stability sufficient for the scope of this bid.

## GENERAL INFORMATION

### **GENERAL REQUIREMENTS:**

The Bidder agrees to

1. Adhere to all State and Federal laws and regulations in connection with the contract; and,
2. Notify DOCCS of any changes in the legal status or principal ownership of the firm, forty-five (45) days in advance of said change.

The Bidder agrees that

3. In any contract resulting from this IFB, it shall be completely responsible for its work, including any damages or breakdowns caused by its failure to take appropriate action; and,
4. Any contract resulting from this IFB may not be assigned, transferred, conveyed or the work subcontracted without the prior written consent of the Commissioner of DOCCS.
5. For reasons of safety and public policy, in any contract resulting from this IFB, the use of illegal drugs and/or alcoholic beverages by the Contractor or its personnel shall not be permitted while performing any phase of the work herein specified.
6. For purposes of any contract resulting from this IFB, the State will not be liable for any expense incurred by the Contractor for any parking fees or as a consequence of any traffic infraction or parking violations attributable to employees of the Contractor.
7. The Commissioner's interpretation of specifications shall be final and binding upon the Contractor.
8. The Commissioner of DOCCS will make no allowance or concession to the Bidder for any alleged misunderstanding because of quantity, quality, character, location or other conditions.
9. Should it appear that there is a real or apparent discrepancy between different sections of specifications concerning the nature, quality or extent of work to be furnished, it shall be assumed that the Bidder has based its bid on the more expensive option. Final decision will rest with the Commissioner of DOCCS.
10. Inspection – For purposes of any contract resulting from this IFB, the quality of service is subject to inspection and may be made at any reasonable time by the State of New York. Should it be found that quality of services being performed is not satisfactory and that the requirements of the specifications are not being met, the Commissioner DOCCS may terminate the contract and employ another contractor to fulfill the requirements of the contract. The existing Contractor shall be liable to the State of New York for costs incurred on account thereof.
11. Stop Work Order - The Commissioner of DOCCS reserves the right to stop the work covered by this IFB and any contract(s) resulting therefrom at any time that it is deemed the successful Bidder is unable or incapable of performing the work to the state's satisfaction. In the event of such stopping, DOCCS shall have the right to arrange for the completion of the work in such manner as it may deem advisable and if the cost thereof exceeds the amount of the bid, the successful Bidder shall be liable to the State of New York for any such costs on account thereof. In the event that DOCCS issues a stop work order for the work as provided herein, the Contractor shall have ten (10) working days to respond thereto before any such stop work order shall become effective.

### **CONTRACT TERMS:**

1. All provisions and requirements of Appendix A Standard Clauses for New York State Contracts, which is attached hereto and forms a part hereof, will be incorporated into any contract resulting from this IFB, and will be binding upon the parties to such contract.
2. All provisions and requirements that are attached hereto and form a part hereof, will be incorporated into any contract resulting from this IFB, and will be binding upon the parties to such contract.
3. It is stipulated and agreed by the parties that the law of the State of New York shall solely and in all respects, govern with relation to any dispute, litigation, or interpretation arising out of or connected with any contract resulting from this IFB.
4. Any contract resulting from this IFB shall not be deemed executed, valid or binding unless and until approved in writing by the Attorney General and the Comptroller of the State of New York.

## GENERAL INFORMATION

### **PROCUREMENT RIGHTS:**

The State of New York reserves the rights for the following:

1. Reject any and all bids received in response to this Solicitation.
2. Disqualify a Bidder from receiving the award if the Bidder, or anyone in the Bidder's employ, has previously failed to perform satisfactorily in connection with public bidding or contracts.
3. Correct Bidders' mathematical errors and waive or modify other minor irregularities in bids received, after prior notification to the Bidder.
4. Adjust any Bidder's expected costs of the bid price based on a determination of the evaluation committee that the selection of the said Bidder will cause the State to incur additional costs.
5. Negotiate with Bidders responding to this Solicitation within the Solicitation requirements to serve the best interests of the State.
6. Begin contract negotiations with another bidding Contractor(s) to serve the best interests of the State should DOCCS be unsuccessful negotiating a contract with the selected Contractor within 21 days of selection notification.
7. Waive any mandatory, non-material requirement not met by all Bidders.
8. Not make an award from this Solicitation or withdraw any tentative awards made as a result of this Solicitation.
9. Make an award under this Solicitation in whole or in part.
10. Make multiple contract awards pursuant to the Solicitation.
11. Have any service completed via separate competitive bid or other means, as determined to be in the best interest of the State.
12. Seek clarifications of bids.
13. Disqualify any bidder whose conduct and/or bid fails to conform to the requirements of the IFB.
14. Prior to the bid opening, amend the IFB specifications to correct errors or oversights, or to supply additional information, as it becomes available.
15. Change any of the scheduled dates stated herein with written notice to all bidders who have received this IFB.
16. If two or more offers are found to be substantially equivalent, the Commissioner of DOCCS, at his sole discretion, will determine award.

**Please Note:** The State is not liable for any costs incurred by Bidders in the preparation and production of bids or for any work performed prior to the issuance of a contract.



NYS DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION  
IFB 2018- 06 URINALYSIS ANALYZERS  
SEPTEMBER 1, 2018 – AUGUST 31, 2023

## SCOPE OF SERVICES

### OVERVIEW:

DOCCS is seeking to award a contract for bench top urinalysis analyzers on a reagent rental basis that includes machines, consumables (excluding distilled/sterile water), calibrators, controls, maintenance, testimony, training, and help desk assistance.

DOCCS conducts approximately 340,000 scans (84,165 x 4 + 3,340) for illicit substances using 5 reagent tests at 52 locations annually. A normal scan consists of THC (50ng/ml cutoff), Opiate (300 ng/ml cutoff), Buprenorphine (5 ng/ml cutoff), and Synthetic Cannabinoids XLR-11/UR-144 (10ng/ml cutoff). Additionally, work release facilities conduct scans for the use of ethyl alcohol (3,340), which is included in the above number of tests and scans. For evaluation purposes, the total cost of these tests will represent 88% of the weighted bid price.

There are 27 Other Reagents (totaling 14,850 tests) listed on the bid cost sheet that DOCCS may require testing during the contract period. Please note, DOCCS is not currently testing for all of the substances listed. However, based on possible changes in the drug world, should the need arise, DOCCS asks bidders for pricing on other known reagents for future testing ability." For evaluation purposes, the total cost of these tests will represent 2% of the weighted price.

For evaluation purposes, the total cost of training will be worth 10% of the total weighted bid price.

**DESCRIPTION OF SYSTEM FUNCTIONALITY:** Documentation should be provided that is descriptive of the functions supported by the system. Existing product literature and prepared marketing materials may be included; however, this information is less useful than a more detailed user and technical document. Please include information on the following:

### PRODUCT SPECIFICATIONS:

#### Hardware:

1. Analyzers must be new and not refurbished.
2. Must provide 1 analyzer machine to each correctional facility (see Attachment A - Correctional Facilities Map & Locations, excluding the following correctional facilities: Taconic and Moriah).
3. Must print a daily sheet of all individuals tested with results, as well as the ability to print individual results.
4. Machine must be able to operate independent of internet connection, the ability to connect should be present for possible future use.
5. Installation shall be conducted by the company at a date and time requested by DOCCS (at least 1 week notice).
6. Provide timeframe for installation of equipment (as mutually agreed upon schedule between DOCCS and Awardee).
7. Provide delivery time after the order of equipment and reagents/consumables.

#### Consumables:

Contractor will provide all consumables relating to urinalysis testing conducted with the exception of distilled water. Consumables must be received by the ordering Correctional Facility within 5 business days of an official request. Please note: there will be no shipping costs associated for orders of consumables and are to be shipped F.O.B. destination. In addition, the Contractor will be required to develop a method for correctional facilities to order consumables to be approved by DOCCS. Contractor must designate someone in their organization to be DOCCS' official contact for consumables.

#### Training:

1. Initial onsite training for a maximum of 5 staff members shall be conducted by the awarded Contractor at each of DOCCS 52 facilities. The training will be worth 10% of the total weighted score.

2. In addition, a mandatory Master trainer class will be conducted by the Contractor to allow DOCCS to train and certify new testers. Certificates will be provided by the Contractor. On-site master trainer classes will be conducted at the request of DOCCS but not more than one (1) time annually. This will occur in each of 9 DOCCS regions (HUBs) at a DOCCS location and will include no more than 36 individuals in total (approximately 4 per HUB). The training will encompass new drug trends, testifying for administrative hearings, common issues with the machine, proper procedures for training new testers, common issues with training new testers, minor preventative maintenance.

The training should also include peripherals and training materials for both the master trainer and new tester (PowerPoint/manual, tests, training aids, etc.) A method for the supply and updating of the curriculum as needed by the manufacturer should be available.

A minimum should be set by the manufacturer to determine tester proficiency. All training must occur on site as the restrictions to internet access is limited for many DOCCS employees. A state map of DOCCS facilities and HUBS is attached. The training may be conducted at any facility within a specific HUB based on availability of urinalysis room space and need.

For evaluation purposes, the total cost of training (total for items 1. and 2a-b.) will be worth 10% of the total weighted bid price. Please note: Vendor will only be paid for actual training events provided. DOCCS reserves the right to increase or decrease training sessions based on actual staff training needs; additional training classes will be paid based on the vendor's bid rate for the location where the additional training will be held.

**Please note: Training cost shall be invoiced separately from testing costs.**

#### **Support and Maintenance:**

1. Operators manual must be provided at a minimum of English and Spanish. Additional, manuals in other languages must be available upon request free of charge.
2. The Department requires a maintenance agreement for the life of agreement during business hours for service to the Urinalysis Analyzer as requested. This maintenance agreement will become effective upon expiration of the initial warranty. **Business Hours: 8:00 am – 5:00 pm, Monday – Friday (no weekends or state holidays)** The following are New York State designated holidays:

|                             |               |
|-----------------------------|---------------|
| New Year's Day              | Labor Day     |
| Martin Luther King, Jr. Day | Columbus Day  |
| Lincoln's Birthday          | Election Day  |
| Washington's Birthday       | Veteran's Day |
| Memorial Day                | Thanksgiving  |
| Independence Day            | Christmas     |

3. Must provide unlimited 24/7 telephone support (for technical support and troubleshooting)
4. Must provide preventive maintenance visits (at least 2 visits annually)
5. Must provide 24-hour response time (when on-site service is required/requested)
6. Must provide and cover, all parts, labor (including travel), and costs associated with repair and maintenance of the machine.
7. If replacement equipment is required due to failure, it must be received within 48 hours.
8. If replacement software is required due to failure, it must be received within 24 hours.
9. Helpdesk Operations
10. User feedback procedures
11. 24/7 and 365 support procedures
12. Warranty, returns and exchanges

**TESTIMONY:**

Testimony at DOCCS administrative hearings is required by the Contractor during normal business hours, telephonic testimony will be required on an as needed. Testimony may be, but is not limited to, machine operation, calibration, maintenance, procedures, and cross-reactivity. In the event of litigation, DOCCS may require the manufacturer provide an expert in the field of urinalysis drug testing to assist the New York State Attorney General's Office or DOCCS Counsel's Office in defending issues that may arise from the urinalysis testing of inmates.

**NYS DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION  
IFB 2018-06 URINALYSIS ANALYZERS  
BID COST SHEET**

DOCCS is seeking to award a contract for bench top urinalysis analyzers on a reagent rental basis that includes machines, consumables (excluding distilled/sterile water), calibrators, controls, maintenance, testimony, training, and help desk assistance. An award will be made to the responsive, responsible bidder offering the lowest grand total weighted bid price for testing requested in this IFB.

| Reagents                             | Estimated Annual Test Quantity (A)  | Price per test (B)  | Kit size | Kit Yield | Price per Kit | Total Cost (A x B) |
|--------------------------------------|-------------------------------------|---------------------|----------|-----------|---------------|--------------------|
| Buprenorphine                        | 84,165 tests                        |                     |          |           |               |                    |
| Cannabinoids (THC)                   | 84,165 tests                        |                     |          |           |               |                    |
| Opiates                              | 84,165 tests                        |                     |          |           |               |                    |
| Synthetic Cannabinoids-2             | 84,165 tests                        |                     |          |           |               |                    |
| Ethyl Ethanol                        | 3,340 tests                         |                     |          |           |               |                    |
| Total                                | 340,000 tests                       | Total Cost of Above |          |           |               | (C)                |
|                                      |                                     |                     |          |           |               |                    |
| *Other Reagents                      | *Estimated Annual Test Quantity (A) | Price per test (B)  | Kit size | Kit Yield | Price per Kit | Total Cost (A x B) |
| 6-AM                                 | 550 tests                           |                     |          |           |               |                    |
| Amphetamine                          | 550 tests                           |                     |          |           |               |                    |
| Barbiturates                         | 550 tests                           |                     |          |           |               |                    |
| Benzodiazepines                      | 550 tests                           |                     |          |           |               |                    |
| Benzoylcegonine (cocaine metabolite) | 550 tests                           |                     |          |           |               |                    |
| Creatinine                           | 550 tests                           |                     |          |           |               |                    |
| Ecstasy                              | 550 tests                           |                     |          |           |               |                    |
| EDDP                                 | 550 tests                           |                     |          |           |               |                    |
| Etg                                  | 550 tests                           |                     |          |           |               |                    |
| K2 (Synthetic Cannabinoids-1)        | 550 tests                           |                     |          |           |               |                    |
| K2 (Synthetic Cannabinoids-2)        | 550 tests                           |                     |          |           |               |                    |
| K2 (Synthetic Cannabinoids-3)        | 550 tests                           |                     |          |           |               |                    |
| Ketamine                             | 550 tests                           |                     |          |           |               |                    |
| Meperidine                           | 550 tests                           |                     |          |           |               |                    |
| Methadone                            | 550 tests                           |                     |          |           |               |                    |

| *Other Reagents           | *Estimated Annual Test Quantity (A) | Price per test (B)  | Kit size | Kit Yield | Price per Kit | Total Cost (A x B) |
|---------------------------|-------------------------------------|---------------------|----------|-----------|---------------|--------------------|
| Methamphetamine           | 550 tests                           |                     |          |           |               |                    |
| Methaqualone              | 550 tests                           |                     |          |           |               |                    |
| Nitrite                   | 550 tests                           |                     |          |           |               |                    |
| Opiates 2k                | 550 tests                           |                     |          |           |               |                    |
| Oxidants                  | 550 tests                           |                     |          |           |               |                    |
| Oxycodone                 | 550 tests                           |                     |          |           |               |                    |
| pH                        | 550 tests                           |                     |          |           |               |                    |
| Phencyclidine (PCP)       | 550 tests                           |                     |          |           |               |                    |
| Propoxyphene              | 550 tests                           |                     |          |           |               |                    |
| Specific gravity          | 550 tests                           |                     |          |           |               |                    |
| Tramadol                  | 550 tests                           |                     |          |           |               |                    |
| Tricyclic antidepressants | 550 tests                           |                     |          |           |               |                    |
| Total                     | 14,850 tests                        | Total Cost of Above |          |           |               | (D)                |

\*Test quantities are for evaluation purposes only in determining the lowest weighted bid price. The test quantities can increase or decrease during the contract period.

For evaluation purposes, a weighted bid price of eighty-eight percent (88%) of the cost for the 5 reagents listed above will be used, and a weighted bid price of 2% of the overall cost will be attributed to the other listed reagents. \* The price requested for Other Reagents are for the purpose of establishing the price per test should the need to test arise during the contract period.

Bidders must submit pricing per test for the reagents listed to be considered for award. Any alteration to the Bid Cost Sheet may result in the disqualification of bid.

### **Training**

1. Initial on-site training for a maximum of 5 DOCCS staff members per facility shall be conducted by the awarded Contractor at each of DOCCS 52 facilities (Attachment A)

Total cost: \_\_\_\_\_ (1.)

## 2. On-site master training – HUB Training:

| HUBs          | Locations       | Employees Trained | Annual Training Event | Bid Price per training section |
|---------------|-----------------|-------------------|-----------------------|--------------------------------|
| Clinton       | Clinton CF      | 4                 | 1                     |                                |
| Elmira        | Five Points CF  | 4                 | 1                     |                                |
| Great Meadow  | Great Meadow CF | 4                 | 1                     |                                |
| Green Haven   | Fishkill CF     | 4                 | 1                     |                                |
| Sullivan      | Eastern CF      | 4                 | 1                     |                                |
| Oneida        | Mid-State CF    | 4                 | 1                     |                                |
| New York City | Queensboro CF   | 4                 | 1                     |                                |
| Watertown     | Watertown CF    | 4                 | 1                     |                                |
| Wende         | Wende CF        | 4                 | 1                     |                                |

a) Total Annual Cost Per Year (9 Sessions) = \$ \_\_\_\_\_

b) Option: Additional Training Events (2 / Year x Average of 9 events in a) above) \$ \_\_\_\_\_

Total cost (a)+(b): \_\_\_\_\_(2.)

For evaluation purposes, DOCCS will use the average of 9 events for additional training classes per year. DOCCS reserves the right to increase or decrease training sessions based on actual staff training needs; vendor will be paid for the vendor's bid rate for the location where the additional training will be held.

For evaluation purposes, the total cost of training (total for items 1. and 2a-b.) will be worth 10% of the total weighted bid price.

Reagents Total Weighted Cost: (C) \_\_\_\_\_ x 88% = \_\_\_\_\_

Other Reagents Total Weighted Cost: (D) \_\_\_\_\_ x 2% = \_\_\_\_\_

Training Total Weighted Cost: (1+2) \_\_\_\_\_ x 10% = \_\_\_\_\_

**Grand Total: = \$ \_\_\_\_\_**

SIGNATURE: \_\_\_\_\_

PRINTED NAME: \_\_\_\_\_

**RETURN THIS PAGE AS PART OF THE BID**

|   |  |
|---|--|
| <p><b>PLEASE USE BLACK INK OR TYPEWRITER WHEN PREPARING YOUR BID. BE SURE YOU HAVE INSERTED YOUR COMPANY'S NAME IN THE BOX</b></p> <p>⇒ ⇒ ⇒ ⇒ ⇒ ⇒</p>   | <p><b>Bidder</b></p>   |
| <p><b>NOTES TO BIDDERS:</b> FAILURE TO ANSWER THE QUESTIONS WILL DELAY THE EVALUATION OF YOUR BID AND MAY RESULT IN REJECTION OF YOUR BID.</p> <ul style="list-style-type: none"> <li>Are prices quoted the same as or lower than those quoted other corporations, institutions and government agencies (including GSA/VA contracts) on similar products, quantities, terms, and conditions? See "Best Pricing Offer" in Appendix B, General Specifications.<br/>If "NO", please explain on a separate sheet.</li> <li>Person or persons to contact for expediting New York State contract orders:</li> </ul> | <p>_____YES _____NO</p> <p>_____</p> <p>_____</p> <p>( ) _____</p> <p>( ) _____</p> <p>( ) _____</p> <p>( ) _____</p> <p>_____</p> |
| <ul style="list-style-type: none"> <li>Person or persons to contact in the event of an emergency occurring after business hours or on weekend/holidays:</li> </ul> <p>State Normal Business Hours (Specify M-F, Sat, Sun):</p> <p>_____</p> <p>Name: _____</p> <p>Title: _____</p> <p>Telephone Number: _____</p> <p>Fax Number: _____</p> <p>Pager Number: _____</p> <p>Cellular Telephone Number: _____</p> <p>E-Mail Address: _____</p>  | <p>_____</p> <p>_____</p> <p>_____</p> <p>( ) _____</p> <p>( ) _____</p> <p>( ) _____</p> <p>( ) _____</p> <p>_____</p>            |

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Bidder

BIDDERS PLEASE ANSWER THE FOLLOWING  
QUESTIONS:

1. Are you a New York State resident business?
2. Total number of people employed by your business:
3. Total number of people employed by your business in  
New York State:
4. Is your business independently owned and operated?

\_\_\_\_\_ YES \_\_\_\_\_ NO

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ YES \_\_\_\_\_ NO

5. **BIDDER'S PRINCIPAL PLACE OF BUSINESS\*:**

State of \_\_\_\_\_

\*"Principal Place of Business" is the location of the primary  
control, direction and management of the enterprise.

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**Bidder**

#### **6. ENCOURAGING USE OF NEW YORK STATE BUSINESSES IN CONTRACT PERFORMANCE**

New York State businesses have a substantial presence in State Contracts and strongly contribute to the economies of the state and the nation. In recognition of their economic activity and leadership in doing business in New York State, Bidders/Proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the Contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles.

Bidders/Proposers need to be aware that all authorized users of this Contract will be strongly encouraged, to the maximum extent practical and consistent with legal requirements, to use responsible and responsive New York State businesses in purchasing commodities that are of equal quality and functionality and in utilizing services and technology. Furthermore, Bidders/Proposers are reminded that they must continue to utilize small, minority and women-owned businesses, consistent with current State law.

Utilizing New York State businesses in State Contracts will help create more private sector jobs, rebuild New York's infrastructure, and maximize economic activity to the mutual benefit of the Contractor and its New York State business partners. New York State businesses will promote the Contractor's optimal performance under the Contract, thereby fully benefiting the public sector programs that are supported by associated procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of New York businesses by its Contractors. The State therefore expects Bidders/Proposers to provide maximum assistance to New York businesses in their use of the Contract. The potential participation by all kinds of New York businesses will deliver great value to the State and its taxpayers.

Bidders/Proposers can demonstrate their commitment to the use of New York State businesses by responding to the question below:

Will New York State Businesses be used in the performance of this Contract?

\_\_\_\_\_ YES \_\_\_\_\_ NO

If yes, identify New York State Business(es) that will be used:  
(Attach identifying information)

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**RETURN THIS PAGE AS PART OF THE BID**

## Required Information and Forms

- Appendix A – Standard Clauses for New York State Contracts
- Appendix B – General Specifications (dated August 2012)
- Appendix C – Contractor Requirements for EEO and M/WBE

All bidders **must submit the following required forms with bid**. Forms are provided in this attachment unless otherwise noted:

- Bid Cost Sheet (pages 28-30)
- Non-Disclosure Form (Attachment B)
- Vendor Assurance of No Conflict of Interest or Detrimental Effect (Attachment C)
- Vendor Responsibility Questionnaire (if not completed online, see Page 13 for information and web links to complete)
- Tax and Finance Form ST-220-CA (Form ST-220-TD is filed directly with NYS Department of Tax & Finance)
- Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance
- M/WBE and EEO Policy Statement (located in Appendix C)
- EEO Staffing Plan (Form EEO 100)

The following documentation will be required **only upon notice of tentative award**:

- Compliance with Workers' Compensation and NYS Disability Benefits Insurance Requirements (see Page 21):
  - Proof of Compliance with Workers' Compensation Coverage
  - Proof of Compliance with Disability Benefits Coverage
- Contractor Insurance Requirements (see Pages 17-22)

## **Appendix A**

## **Appendix B**

## **Appendix C**

### **CONTRACTOR REQUIREMENTS FOR EEO AND MWBE**

## **CONTRACTOR REQUIREMENTS AND PROCEDURES FOR EQUAL EMPLOYMENT AND PARTICIPATION OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND NEW YORK STATE CERTIFIED MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISE**

### **I. General Provisions**

- A. The Department of Corrections and Community Supervision (hereinafter referred to as "DOCCS") is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 140-145 ("MWBE Regulations") for all State contracts as defined therein, with a value (1) in excess of REDACTED for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of REDACTED for real property renovations and construction.
- B. The contractor to the subject contract (the "Contractor" and the "Contract," respectively) agrees, in addition to any other nondiscrimination provision of the Contract and at no additional cost to the New York State DOCCS (the "DOCCS"), to fully comply and cooperate with the DOCCS in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women ("EEO") and contracting opportunities for certified minority and women-owned business enterprises ("MWBEs"). The Contractor's demonstration of "good faith efforts" pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the "Human Rights Law") or other applicable federal, state or local laws.
- C. Failure to comply with all of the requirements herein may result in a finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages pursuant to Section VII of this Appendix or enforcement proceedings as allowed by the Contract.

### **II. Contract Goals**

- A. For purposes of this procurement, the DOCCS hereby establishes an overall goal of 0% for Minority and Women-Owned Business Enterprises ("MWBE") participation, 0% for New York State certified minority-owned business enterprises ("MBE") participation and 0% for New York State certified women-owned business enterprises ("WBE") participation (collectively, "MWBE Contract Goals") based on the current availability of qualified MBEs and WBEs.
- B. For purposes of providing meaningful participation by MWBEs on the Contract and achieving the MWBE Contract Goals established in Section II-A hereof, the Contractor should reference the directory of New York State Certified MBWEs found at the following internet address: <https://ny.newnycontracts.com>.

Additionally, the Contractor is encouraged to contact the Division of Minority and Woman Business Development ((518) 292-5250; (212) 803-2414; or (716) 846-8200) to discuss additional methods of maximizing participation by MWBEs on the Contract.

- C. Where MWBE Contract Goals have been established herein, pursuant to 5 NYCRR §142.8, the Contractor must document "good faith efforts" to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract. In accordance with Section 316-a of Article 15-A and 5 NYCRR §142.13, the Contractor acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such a finding constitutes a breach of contract and the Contractor shall be liable to the DOCCS for liquidated or other appropriate damages, as set forth herein.

### **III. Equal Employment Opportunity (EEO)**

- A. The Contractor agrees to be bound by the provisions of Article 15-A and the MWBE Regulations promulgated by the Division of Minority and Women's Business Development of the Department of Economic Development (the "Division"). If any of these terms or provisions conflict with applicable law or regulations, such laws and regulations shall supersede these requirements.



B. The Contractor shall comply with the following provisions of Article 15-A:

1. Contractor and subcontractor performing work on the Contract ("Subcontractor") shall undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, EEO shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.
2. The Contractor shall submit an EEO policy statement to the DOCCS within seventy- two (72) hours after the date of the notice by DOCCS to award the Contract to the Contractor.
3. If the Contractor or Subcontractor does not have an existing EEO policy statement, the DOCCS may provide the Contractor or Subcontractor a model statement (see Form – Minority and Women-Owned Business Enterprises Equal Employment Opportunity Policy Statement).
4. The Contractor's EEO policy statement shall include the following language:
  - a. The Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force.
  - b. The Contractor shall state in all solicitations or advertisements for employees that, in the performance of the contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.
  - c. The Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union, or representative will not discriminate on the basis of race, creed, color, national origin, sex age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein.
  - d. The Contractor will include the provisions of Subdivisions (a) through (c) of this Subsection 4 and Paragraph "E" of this Section III, which provides for relevant provisions of the Human Rights Law, in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each Subcontractor as to work in connection with the Contract.

C. Form 101 - Staffing Plan

To ensure compliance with this Section, the Contractor shall submit a staffing plan to document the composition of the proposed workforce to be utilized in the performance of the Contract by the specified categories listed, including ethnic background, gender, and Federal occupational categories. The Contractor shall complete the Staffing plan form and submit it as part of their bid or proposal or within a reasonable time, but no later than the time of award of the contract.

D. Form 103 - Workforce Employment Utilization Report ("Workforce Report")

1. Once a contract has been awarded and during the term of Contract, the Contractor is responsible for updating and providing notice to the DOCCS of any changes to the previously submitted Staffing Plan. This information is to be submitted on a quarterly basis during the term of the contract to report the actual workforce utilized in the performance of the contract by the specified categories listed including ethnic background, gender, and Federal occupational categories. The Workforce Report must be submitted to report this information.
2. Separate forms shall be completed by Contractor and any Subcontractor.
3. In limited instances, the Contractor may not be able to separate out the workforce utilized in the performance of the Contract from the Contractor's and/or Subcontractor's total workforce. When a separation can be made, the Contractor shall submit the Workforce Report and indicate that the information provided related to the actual workforce utilized on the Contract. When the workforce to be utilized on the contract cannot be separated out from the Contractor's and/or Subcontractor's total workforce, the Contractor shall submit the Workforce Report and indicate that the information provided is the Contractor's total workforce during the subject time frame, not limited to work specifically under the contract.

- E. The Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. The Contractor and Subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

#### **IV. MWBE Utilization Plan**

- A. The Contractor represents and warrants that Contractor has submitted an MWBE Utilization Plan, by submitting evidence thereof through the New York State Contract System ("NYSCS"), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that the Contractor may arrange to provide such evidence via a non-electronic method to DOCCS, either prior to, or at the time of, the execution of the contract.
- B. The Contractor agrees to use such MWBE Utilization Plan for the performance of MWBEs on the Contract pursuant to the prescribed MWBE goals set forth in Section III-A of this Appendix.
- C. The Contractor further agrees that a failure to submit and/or use such MWBE Utilization Plan shall constitute a material breach of the terms of the Contract. Upon the occurrence of such a material breach, DOCCS shall be entitled to any remedy provided herein, including but not limited to, a finding of the Contractor non-responsiveness.

#### **V. Waivers**

- A. For Waiver Requests, the Contractor should use the NYSCS, provided, however, that Bidder may arrange to provide such evidence via a non-electronic method to DOCCS.
- B. If the Contractor, after making good faith efforts, is unable to comply with MWBE goals, the Contractor may submit a Request for Waiver documenting good faith efforts by the Contractor to meet such goals. If the documentation included with the waiver request is complete, the DOCCS shall evaluate the request and issue a written notice of acceptance or denial within twenty (20) days of receipt.
- C. If the DOCCS, upon review of the MWBE Utilization Plan and updated Quarterly MWBE Contractor Compliance Reports determines that the Contractor is failing or refusing to comply with the MWBE Contract Goals and no waiver has been issued in regards to such non-compliance, the DOCCS may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven (7) business days of receipt. Such response may include a request for partial or total waiver of MWBE Contract Goals.

#### **VI. Quarterly MWBE Contractor Compliance Report**

The Contractor is required to submit a Quarterly MWBE Contractor Compliance Report through the NYSCS, provided, however, that Bidder may arrange to provide such evidence via a non-electronic method to the DOCCS by the 10<sup>th</sup> day following each end of quarter over the term of the Contract documenting the progress made towards achievement of the MWBE goals of the Contract.

#### **VII. Liquidated Damages - MWBE Participation**

- A. Where DOCCS determines that the Contractor is not in compliance with the requirements of the Contract and the Contractor refuses to comply with such requirements, or if the Contractor is found to have willfully and intentionally failed to comply with the MWBE participation goals, the Contractor shall be obligated to pay to the DOCCS liquidated damages.
- B. Such liquidated damages shall be calculated as an amount equaling the difference between:
  1. All sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and
  2. All sums actually paid to MWBEs for work performed or materials supplied under the Contract.

- C. In the event a determination has been made which requires the payment of liquidated damages and such identified sums have not been withheld by the DOCCS, the Contractor shall pay such liquidated damages to the DOCCS within sixty (60) days after they are assessed by the DOCCS unless prior to the expiration of such sixtieth day, the Contractor has filed a complaint with the Director of the Division of Minority and Woman Business Development pursuant to Subdivision 8 of Section 313 of the Executive Law in which event the liquidated damages shall be payable if Director renders a decision in favor of the DOCCS.



# **APPENDIX D**

## **Bid Cost Sheet**

**(Bid Cost Sheet is part of Appendix H  
and is not included here)**

## **APPENDIX E**

### **Vendor Assurance of Non-Conflict or Detrimental Effect**

**ATTACHMENT C**

**VENDORS ASSURANCE OF NO CONFLICT OF  
INTEREST OR DETRIMENTAL EFFECT**



**Vendor Assurance of No Conflict of Interest or Detrimental Effect**

The Firm offering to provide services pursuant to IFB 2018-06 Urinalysis Analyzers (IFB), as a contractor, joint venture contractor, subcontractor, or consultant, attests that its performance of the services outlined in this Contract does not and will not create a conflict of interest with nor position the Firm to breach any other contract currently in force with the State of New York.

Furthermore, the Firm attests that it will not act in any manner that is detrimental to any State project on which the Firm is rendering services. Specifically, the Firm attests that:

1. The fulfillment of obligations by the Firm, as proposed in the response, does not violate any existing contracts or agreements between the Firm and the State;
2. The fulfillment of obligations by the Firm, as proposed in the response, does not and will not create any conflict of interest, or perception thereof, with any current role or responsibility that the Firm has with regard to any existing contracts or agreements between the Firm and the State;
3. The fulfillment of the obligations by the Firm, as proposed in the response, does not and will not compromise the Firm's ability to carry out its obligations under any existing contracts between the Firm and the State;
4. The fulfillment of any other contractual obligations that the Firm has with the State will not affect or influence its ability to perform under any contract with the State resulting from this Contract;
5. During the negotiation and execution of any contract resulting from this Contract, the Firm will not knowingly take any action or make any decision which creates a potential for conflict of interest or might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
6. In fulfilling obligations under each of its State contracts, including any contract which results from this Contract, the Firm will act in accordance with the terms of each of its State contracts and will not knowingly take any action or make any decision which might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
7. No former officer or employee of the State who is now employed by the Firm, nor any former officer or employee of the Firm who is now employed by the State, has played a role with regard to the administration of this contract procurement in a manner that may violate section 73(8)(a) of the State Ethics Law; and
8. The Firm has not and shall not offer to any employee, member or director of the State any gift, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence said employee, member or director, or could reasonably be expected to influence said employee, member or director, in the performance of the official duty of said employee, member or director or was intended as a reward for any official action on the part of said employee, member or director.

Firms responding to this Contract should note that the State recognizes that conflicts may occur in the future because a Firm may have existing or new relationships. The State will review the nature of any such new relationships and reserves the right to terminate the contract for cause if, in its judgment, a real or potential conflict of interest cannot be cured.

Name, Title: Carol Bowers Sr Director Finance  
Signature: Carol Bowers  
Date: 5/17/18

This form must be signed by an authorized executive or legal representative.



# **APPENDIX F**

## **Non-Disclosure Agreement**

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## Disclosure of New York State Department of Corrections and Community Supervision Information

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**THIS NON-DISCLOSURE AGREEMENT** is entered into as of \_\_\_\_\_, 20\_\_\_\_ by the New York State Department of Corrections and Community Supervision (“DOCCS”) which is the party disclosing confidential information, and **Microgenics Corporation**, which is the party receiving confidential information (“Recipient”), in order to protect the confidential information which is disclosed to the Recipient by DOCCS.

**NOW THEREFORE**, in consideration of the mutual covenants contained herein, the parties hereto agree as follows:

1. The Recipient’s representatives for receiving confidential information are: \_\_\_\_\_ . Recipient shall not disclose the confidential information to any of its employees other than those who have a need to review it and which employees are legally obligated to honor the confidentiality provisions herein.

2. The confidential information disclosed by DOCCS under this Agreement is described as:

N/A

3. The Recipient shall keep the information confidential and shall use the confidential information only for **Urinalysis Analyzers Contract #CC161458**. The Recipient shall not make any copies of the confidential information except as necessary for its employees who are entitled to view it under Section 1 above. Any copies made shall be identified as belonging to DOCCS and marked “confidential” or with a similar legend.

4. The Recipient shall, where applicable, protect the confidential information in a manner consistent with the Health Insurance Portability and Accountability Act (“HIPAA”) of 1996 Privacy and Security provisions and all other applicable regulations.

5. The Recipient shall comply with all Federal and State regulations intended to protect criminal history records as they apply to the confidential information.

6. The Recipient shall comply with all DOCCS directives, policies, practices and procedures as they apply to the protection of the confidential information.

7. The Recipient shall, in the event, of unauthorized disclosure of the confidential information, immediately notify DOCCS, in writing, and fully comply with the requirements of the New York State Breach Notification Act.

8. Any unauthorized disclosure of procurement information may subject Recipient to criminal, civil, and/or administrative penalties.

9. To the extent permitted by law, the Recipient shall protect the disclosed confidential information by using the same degree of care, but no less than a reasonable degree of care, to prevent the unauthorized use, dissemination or publication of the confidential information as the Recipient uses to protect its own confidential information of a like nature.

10. The Recipient shall have a duty to protect all confidential information which is disclosed to it, whether disclosed in writing, orally or in any other manner and which is identified as confidential at the time of disclosure. If the disclosure is in writing, it shall be marked “**confidential**.” If a disclosure is not in writing, DOCCS shall provide Recipient with a written memorandum summarizing and designating such information as confidential within thirty (30) days of the disclosure.

11. This agreement controls information that is disclosed to Recipient between **September 1, 2018 through August 31, 2023.**

12. The Recipient’s duties under paragraph 3,4,5,6 & 7 of this Agreement shall expire (1) year after the information is received. The recipient shall return or destroy all DOCCS confidential information. All paper documents and any copies, made in accordance with #3 above, are to be shredded. Electronically stored information is to be destroyed by shredding or securely wiping the media.

13. This Agreement imposes no obligation upon the Recipient with respect to confidential information which (a) was in the Recipient’s possession before receipt by DOCCS; (b) is or becomes a matter of public knowledge through no fault of the Recipient; (c) is received by the Recipient from a third party without a duty of confidentiality; (d) is disclosed by DOCCS to a third party without a duty of confidentiality on the third party; (e) is independently disclosed by the Recipient with DOCCS’ prior written approval; (f) is developed by the Recipient without reference to information disclosed hereunder.

14. DOCCS warrants that it has the right to make the disclosure under this Agreement.

15. Neither party acquires any intellectual property under this Agreement.

16. Neither party has an obligation under this Agreement to purchase, sell or license any service or item from the other party.

17. The Recipient shall adhere to U.S. Export Administration laws and Regulations and shall not export or re-export technical data, information or products received from DOCCS or the direct product of such technical data or information to any proscribed country listed in the U.S. Export Administration Regulations, unless properly authorized by the U.S. Government.

18. The parties do not intend that any agency or partnership be created between them by this Agreement.

19. All additions or modifications to this Agreement must be in writing and signed by both parties.

20. This Agreement is made under and shall be governed by the laws of the State of New York.

21. Neither party may assign its rights or obligations under this Agreement without the written consent of the other party. Any assignment made without said consent shall be null and void.

22. The recipient shall indemnify and hold harmless DOCCS and the State of New York from any and all suits, causes of actions, claims, grievances, damages, judgments, and costs of every name and description under this Agreement, unless such injuries or damages are directly attributable to the intentional acts or negligent conduct of DOCCS, the State of New York, or their employees.

23. The failure of DOCCS to insist upon strict adherence to any provision or other requirement of this Agreement shall not be considered a waiver to deprive DOCCS of the right to insist upon strict adherence of the terms of this Agreement in the future.

24. If any provision, or portion thereof, of this Agreement is, or becomes, invalid under any applicable statute or rule of law, it is to be deemed stricken and the rest of this Agreement shall remain in full force and effect.

**IN WITNESS WHEREOF**, the parties hereto have executed this Agreement as of the date first above written.

NYS Department of Corrections and  
Community Supervision

Microgenics Corporation

By: \_\_\_\_\_

By: \_\_\_\_\_

Print Name: Melissa McLaughlin

Print Name: \_\_\_\_\_

Title: Director, Budget and Finance

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_





## **APPENDIX G**

### **M/WBE and EEO Policy Statement**

**MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES – EQUAL  
EMPLOYMENT OPPORTUNITY POLICY STATEMENT**

**M/WBE AND EEO POLICY STATEMENT**

I, Renee Byrd, the (awardee/contractor) Thermo Fisher Scientific agree to adopt the following policies with respect to the project being developed or services rendered at \_\_\_\_\_

**M/WBE**

This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the M/WBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

- (1) Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to M/WBE contractor associations.
- (2) Request a list of State-certified M/WBEs from AGENCY and solicit bids from them directly.
- (3) Ensure that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective M/WBEs.
- (4) Where feasible, divide the work into smaller portions to enhanced participations by M/WBEs and encourage the formation of joint venture and other partnerships among M/WBE contractors to enhance their participation.
- (5) Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. The Contractor will also maintain records of actions that its subcontractors have taken toward meeting M/WBE contract participation goals.
- (6) Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that, if legally permissible, bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

**EEO**

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on state contracts.

(b) This organization shall state in all solicitation or advertisements for employees that in the performance of the State contract all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex disability or marital status.

(c) At the request of the contracting agency, this organization shall request each employment agency, labor union, or authorized representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of this organization's obligations herein.

(d) The Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. The Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract

Agreed to this 16 day of May, 2018

By Renee Byrd

Print: Renee Byrd

Title: HR EEO Compliance Professional

Renee Byrd is designated as the Minority Business Enterprise Liaison  
(Name of Designated Liaison)

responsible for administering the Minority and Women-Owned Business Enterprises- Equal Employment Opportunity (M/WBE-EEO) program.

**M/WBE Contract Goals**

\_\_\_\_\_ percent Minority and Women's Business Enterprise Participation

\_\_\_\_\_ percent Minority Business Enterprise Participation

\_\_\_\_\_ percent Women's Business Enterprise Participation

Renee Byrd (Renee Byrd)  
(Authorized Representative)

Title: HR EEO Compliance Professional

Date: May 16, 2018



# NEW YORK STATE DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION

## EEO STAFFING PLAN (EQUAL EMPLOYMENT OPPORTUNITY)

### SUBMIT WITH BID OR PROPOSAL

|  |  |   |
|--|--|---|
| Solicitation No.:<br><b>IFB 2018-06</b>  |  | Reporting Entity:<br><input checked="" type="checkbox"/> Contractor<br><input type="checkbox"/> Subcontractor |
| Contractor/Subcontractor's Name:<br><b>Microgenics Corporation</b><br>Thermo Fisher Scientific |  |   |
| Contractor/Subcontractor's Address:<br><br><b>Telephone NO.: (510) 979-5000 - Ext. 3425</b>    |  |   |
| FEIN: <b>68-0418167</b>  |  |   |

Report includes Contractor's:  
☐ Contractor's workforce to be utilized on this contract  
☒ Contractor's total workforce  
☐ Subcontractor's workforce to be utilized on this contract  
☐ Subcontractor's total workforce

Submit completed form to:  
 Department of Corrections and Community Supervision  
 Support Operations / Contract Procurement Unit  
 The Harriman State Campus  
 1220 Washington Ave  
 Albany, NY 12226

Enter the total number of employees for each classification.

| EEO Job Category                            | Total Workforce | Workforce by Gender |                  | Workforce by Race/Ethnic Identification |                                 |                                 |                                 |                        |                        |                                 |                                 | Disabled  |   | Veteran |     |
|---|-----------------|---------------------|------------------|---|---------------------------------|---------------------------------|---------------------------------|------------------------|------------------------|---------------------------------|---------------------------------|---|---|---------|-----|
|   |                 | Total Male (M)      | Total Female (F) | White (Not Hispanic/Latino) (M)         | White (Not Hispanic/Latino) (F) | Black (Not Hispanic/Latino) (M) | Black (Not Hispanic/Latino) (F) | Hispanic or Latino (M) | Hispanic or Latino (F) | Asian (Not Hispanic/Latino) (M) | Asian (Not Hispanic/Latino) (F) | American Indian or Alaskan Native (Not Hispanic/Latino) (M) | American Indian or Alaskan Native (Not Hispanic/Latino) (F) | (M)     | (F) |
|   |                 | (M)                 | (F)              | (M)                                     | (F)                             | (M)                             | (F)                             | (M)                    | (F)                    | (M)                             | (F)                             | (M)   | (F)   | (M)     | (F) |
| Executive/Senior Level Officials & Managers | 1               | 0                   | 1                | 0                                       | 1                               | 0                               | 0                               | 0                      | 0                      | 0                               | 0                               | 0   | 0   | 0       | 0   |
| First/Mid Level Officials & Managers        | 132             | 75                  | 57               | 33                                      | 25                              | 5                               | 3                               | 7                      | 3                      | 30                              | 26                              | 0   | 0   | 0       | 1   |
| Professionals                               | 368             | 170                 | 198              | 58                                      | 50                              | 8                               | 10                              | 8                      | 10                     | 96                              | 127                             | 0   | 1   | 0       | 0   |
| Technicians                                 | 17              | 12                  | 5                | 1                                       | 0                               | 1                               | 0                               | 1                      | 2                      | 9                               | 3                               | 0   | 0   | 0       | 0   |
| Sales Workers                               | 39              | 24                  | 15               | 20                                      | 12                              | 2                               | 2                               | 0                      | 0                      | 2                               | 3                               | 0   | 0   | 0       | 0   |
| Administrative Support Workers              | 48              | 16                  | 32               | 2                                       | 9                               | 3                               | 6                               | 4                      | 5                      | 7                               | 12                              | 0   | 0   | 0       | 0   |
| Craft Workers                               | 2               | 2                   | 0                | 0                                       | 0                               | 0                               | 0                               | 1                      | 0                      | 1                               | 0                               | 0   | 0   | 0       | 0   |
| Operatives                                  | 95              | 52                  | 43               | 5                                       | 1                               | 3                               | 2                               | 10                     | 7                      | 34                              | 33                              | 0   | 0   | 0       | 0   |
| Laborers and Helpers                        | 0               | 0                   | 0                | 0                                       | 0                               | 0                               | 0                               | 0                      | 0                      | 0                               | 0                               | 0   | 0   | 0       | 0   |

PHOTOCOPY LOCALLY AS NEEDED



|                 |     |     |     |     |    |    |    |    |    |     |     |   |   |   |   |   |   |
|-----------------|-----|-----|-----|-----|----|----|----|----|----|-----|-----|---|---|---|---|---|---|
| Service Workers | 1   | 0   | 1   | 0   | 1  | 0  | 0  | 0  | 0  | 0   | 0   | 0 | 0 | 0 | 0 | 0 | 0 |
| Totals          | 703 | 351 | 352 | 119 | 99 | 22 | 23 | 31 | 27 | 179 | 202 | 0 | 1 | 1 | 0 | 0 | 1 |

PREPARED BY (Signature): *Renee Byrd*

NAME AND TITLE OF PREPARER (Print or Type): Renee Byrd, HR EEO Compliance Professional

TELEPHONE NO.: (856) 473-2507

E-MAIL ADDRESS: renee.byrd@thermofisher.com

DATE: 5/16/2018

FOR AGENCY USE ONLY

REVIEWED BY: DATE:

**General instructions:** All Offerors must complete an EEO Staffing Plan (EEO-100) and submit it as part of the bid or proposal package to the address provided. Where the workforce to be utilized in the performance of the State contract can be separated out from the Contractor's total workforce, the Offeror shall complete this form only for the anticipated workforce to be utilized on the State contract. Where the workforce to be utilized in the performance of the State contract cannot be separated out from the Contractor's total workforce, the Offeror shall complete this form for the Contractor's current total workforce. Subcontractors awarded a subcontract over \$25,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "work") except where the "work" is for the beneficial use of the Contractor must complete this form upon request of DOCCS.

**Instructions for completing:**

1. Enter the Solicitation Number that this report applies to along with the name and address of the Offeror.
2. Check off the appropriate box to indicate if the Offeror completing the report is the Contractor or a Subcontractor.
3. Check off the appropriate box to indicate type of workforce being reported.
4. Enter the total workforce by EEO job category.
5. Break down the total workforce by gender and enter under the heading "Workforce by Gender."
6. Break down the total workforce by race/ethnic background and enter under the heading "Workforce by Race/Ethnic Identification."
7. Enter the name, title, phone number, and E-mail address for the person completing the form. Sign and date the form in the designated boxes.

**RACE/ETHNIC IDENTIFICATION**

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group. The race/ethnic categories for this survey are:

**WHITE** - (Not of Hispanic origin) All persons having origins in any of the original peoples of Europe, North Africa or the Middle East.

**BLACK** - (Not of Hispanic origin) A person who has origins in any of the black racial groups of Africa.

**HISPANIC or LATINO** - All persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.

**ASIAN & PACIFIC ISLANDER** - All persons having origins in any of the original peoples of the Far East, Southeast Asia or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam. A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands.

**AMERICAN INDIAN or ALASKAN NATIVE** - A person having origins in any of the original peoples of North or South America (including Central America), and who maintains tribal affiliation or community recognition.

**OTHER CATEGORIES**

- **DISABLED INDIVIDUAL** - Any person who:
  - Has a physical or mental impairment that substantially limits one or more major life activity (ies)
  - Has a record of such an impairment; or
  - Is regarded as having such impairment.

- **VETERAN** - An individual who served in the military during time of war.

PHOTOCOPY LOCALLY AS NEEDED



# **APPENDIX H**

## **Contractor's Bid**

**(Appendix D Bid Cost Sheet is included)**



## **MICROGENICS CORPORATION**

**A Part Thermo Fisher Scientific  
Response to RFB**

### **NYS Department of Corrections and Community Supervision**

Support Operations – Contract Procurement Unit

### **Urinalysis Analyzers**

**Attn: Maria Henriquez-Nepaulsingh**

[doccscontracts@doccs.ny.gov](mailto:doccscontracts@doccs.ny.gov)

1220 Washington Avenue

Albany, NY 12226

**IFB 2018-06 Urinalysis Analyzers  
DUE DATE: May 23, 2018 3:00 p.m.**



1

## **MICROGENICS CORPORATION**

**NYS DEPARTMENT OF CORRECTIONS  
AND COMMUNITY SUPERVISION  
SUPPORT OPERATIONS – CONTRACT  
PROCUREMENT UNIT  
URINALYSIS ANALYZERS**

2

**NYS DEPARTMENT OF CORRECTIONS  
AND COMMUNITY SUPERVISION  
IFB #2018-06**

**RESPONSE TO RFI  
IFB #2018-06 Urinalysis Analyzers**

**DUE: May 23, 2018 3:00 PM**

3

**Microgenics Executive Summary  
Specifications &  
Attachment A, B, C, D, E & F**

4

**Microgenics Response to  
IFB# 2018-06,  
Addendum #1,  
Questions & Answers**

**Brenda Collum, Sales Representative**  
**Mobile: 1-518-441-6302**  
[Brenda.Collum@thermofisher.com](mailto:Brenda.Collum@thermofisher.com)

**Microgenics Corporation**  
**A Part of Thermo Fisher Scientific**  
46500 Kato Road, Fremont, CA 94538 USA  
Tel: 1-510-979-5000 • Fax: 1-510-979-5485  
Customer/Technical Service 1-800-232-3342

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**Contact Information**

**MICROGENICS CORPORATION**  
**A Thermo Fisher Scientific Company**  
**Executive Summary****Response to NYS Department of Corrections and Community Supervision**  
**IFB #2018-06 Urinalysis Analyzers****SCOPE**

Microgenics Corporation meets the requirements in accordance with NYS Department of Corrections, to this IFB.

The Microgenics Corporation shall furnish the NYS DOC and Community Corrections with new benchtop urinalysis analyzers (Indiko Plus) to each of the 52 facility sites as per NYS DOC direction on a reagent rental contract. This includes Instrument service, consumables (excluding distilled water), calibrators, controls, training, Master Trainings, Administrative hearings and 24/7 hotline, all at no additional cost. In addition, the requested drugs of abuse assays shall be offered.

**INSTRUMENTATION AND PRODUCT FUNCTION: PLEASE SEE ATTACHMENT A FOR SPECIFIC INSTRUMENT INFORMATION. THE OPERATORS MANUAL HAS ALREADY BEEN PROVIDED WITH THE RFI BUT CAN BE PROVIDED AGAIN IF NEED BE. ALSO PLEASE SEE ATTACHMENT B FOR REAGENT LITERATURE AND INFORMATION**

**PRODUCT SPECIFICATIONS:**

Microgenics Corporation meets the requirements in accordance with NYS Department of Corrections, to this IFB.

**HARDWARE:**

- One **new** Indiko Plus Microgenics instrument will be provided to each of the 52 sites as specified by NY DOCCS.
- The Indiko Plus benchtop instrument can print a daily sheet of results for individuals tested that day as well as individual results
- The Indiko Plus can operate independent of internet connection however it can be interfaced as well.
- Thermo Fisher takes pride in being able to provide the instrument installations within the time frame required and can do so at the date and time requested by DOCCS with notice of at least a week.
- Thermo Fisher can complete the 52-instrument install and training in a 3-month time frame agreed to with NYS DOCCS.
- Thermo Fisher can start the instrument installation process as soon as July 6<sup>th</sup> with 30-day notice and finish in 3 months.

**REAGENTS + CONSUMABLE SHIPMENTS:**

- The reagent and instrument consumables are shipped overnight if order is placed on a Monday-Thursday. Friday orders are shipped out Monday for Tuesday. The first order of reagents would be arranged with the individual sites and Thermo Fisher to ensure reagents arrive with the instrument for installation. A startup kit would be provided with the instrument installation with enough supplies to get started.
- Reagents would be shipped "no charge shipping" as required

**CONSUMABLES:**

- All consumable orders are placed like reagent orders and would be shipped out overnight (as detailed for reagents above) with NO charge shipping charges as required.
- Thermo Fisher would develop a method for Correctional Facilities to order consumables and reagents as well (to be approved by NYS DOCCS). Currently at Thermofisher, we have our customers order reagents and/or consumables at the same time using a structured PO form (which would be created with the pricing and part #s for each facility). This PO would then be submitted via email to our main customer service email address as well as CC the local rep to ensure the order was completed.

**TRAINING:**

- At each of the 52 locations, Microgenics shall provide training to NYS Department of Corrections. Microgenics shall provide 5 staff members (operators) proficiency and certification training of the equipment, reagents with discussions on adulterations, how to order, part #s and cross-reactivity upon instrument installation as well as a paper test to ensure the staff member has retained this information. Training certificates will be provided. There is no additional charge for these trainings. This meets NYS DOCCS requirements
- Master training classes will be provided 1/ year for each of the HUBS (4 staff / hub) as required as part of the bid at the request of the NYS DOCCS for location and time frame. Thermo Fisher would need as early notification as possible. Each of the Master Training classes will be done with the intention of making the staff members the expert in drug testing on the Indiko Plus benchtop instrument, the expert on current drug trends, maintenance, ordering part #s, cross-reactivity and with a yearly update addendum added to these trainings as see fit. Also, provided with a test of further proficiency and certification. This section is at no additional cost and meets the bid requirements

**SUPPORT AND MAINTENANCE:**

- Operator manuals can be provided in English. Upon request Spanish, French and German manuals can be provided and are at no charge
- This bid comes with a maintenance agreement for the life of the agreement during 8-5pm Monday –Friday (no weekend or state holidays). The service agreement covers the following:
  - 24/7 telephone support.
  - Preventive maintenance was determined based on National studies of meantime between failure to only need 1 PM /year.
  - Will provide a 24-hour Response time after onsite service is determined to be needed.
  - All travel, parts and labor are no at no additional charge for the repair of the instrument excluding acts of clear undeniable sabotage (hammer to the instrument, spray paint etc.) or acts of nature (i.e. a roof falling in on instrument)
  - If a replacement instrument is required due to engineer report, a replacement will be received by 48 hours in best case not including any weather-related shipping delays.
  - Software replacement if determined is necessary, will be shipped as soon as possible with best case 24- 48 hours not including any shipping delays. We will replace the instrument or the software which ever can be done faster so that you are not impacted.
  - Microgenics offers 24/7 helpdesk assistance 365 days a year
  - Microgenics welcomes feedback and any feedback would be directed through local sales rep.

- Microgenics instrument comes with a warranty
- Should an instrument or part return be necessary, no additional cost would occur.

## **THERMOFISHER SUPPORT INCLUDES:**

### **Customer Service:**

- ✓ Our Customer Service Department [1-800-232-3342] is open from 6:00 a.m. to 5:00 p.m. Pacific Time Monday through Friday to process product orders.

### **Technical Support:**

- ✓ 24/7 365 days/year Technical Phone Support (Hotline/" Helpdesk")  
based in California M-F 7:30am-4:30pm PST

CEDIA+ DRI Reagent as well as Indiko Plus instrument support:

[techservice.mgc@thermofisher.com](mailto:techservice.mgc@thermofisher.com)

1-800-232-3342 – opt 2, opt 3

After-hours calls are routed to voicemail boxes with emergency calls being returned within 2 hours.

Our experienced Technical support team has earned an industry-wide reputation for their accessibility and problem solving tenacity. When you call technical support, they will determine and send a request to the service management team should you require an onsite Field Technical support and /or a Field Service Engineer.

### **Testimony:**

This meets the NYS DOCCS bid requirements

- ✓ Microgenics shall provide testimony in administrative hearings through our Technical Support Hotline [1-800-232-3342 Option #2 Option #3] during the hours of 9am-5pm EST Monday-Friday covering questions concerning the Indiko Plus operation, calibration, maintenance, procedures, reagents and cross-reactivity. At times, with heavy call volumes, the Technical representatives may be on other calls and in that case, you can leave a message or call back. Please provide Thermo Fisher Scientific a notice as early as possible, with (if possible) any advance notice for these administrative hearings. This will enable Thermo Fisher Scientific to schedule availability of specific resources!
- ✓ In the event of litigation and if so required, Microgenics will provide an expert in the field of urinalysis drug testing to assist NYS Attorney General's Office or DOCCS Counsel's Office in defending issues that may arise from urinalysis testing of inmates.

## **FURTHER ASSAY/REAGENT SPECIFICATIONS**

### **ASSAY/REAGENT SPECIFICATIONS: (SEE ATTACHMENT B FOR FURTHER INFORMATION)**

- Thermofisher has provided the assays requested in the pricing list and this meets the NYS Department of Corrections requirement.
- Microgenics will provide the necessary calibrators and controls for the urinalysis tests listed in the bid request, at no charge. The calibrators and controls meet the cutoff concentration requirements in the bid specifications.
- Thermo Fisher Drugs of abuse reagents are Food and Drug Administration (FDA) cleared with the exception of EtG (pending FDA 510K approval).
- Microgenics meets or exceeds the requirements stated in solicitation Substance Abuse and Mental Health Services Administration (SAMSHA) cutoff detection level guidelines over the life of this contract

- Microgenics proprietary DRI products are at the leading edge of a new generation of testing solutions offering high analytical accuracy and are liquid, ready-to-use homogeneous enzyme immunoassays
- Microgenics Proprietary CEDIA reagents are powder and come with a specific clip on liquid for a no mistake reconstitution. These reagents are also highly valued for specificity with assay metabolites in the field as well as highly accurate.

## EXPERIENCE ON CONTRACTS OF SIMILAR SIZE AND SCOPE

Microgenics Corporation was awarded contracts with the United States Pretrial and Probation, the Naval Medical Logistics/Department of Defense, Department of Veteran's Affairs, Arkansas Department of Community Corrections, Missouri Department of Corrections as well as various other local governments/municipalities and large-scale commercial laboratories. In addition, Microgenics has contracts with criminal justice/drug courts nationally.

Microgenics provides instrumentation, instrument consumables, screening reagents, calibrators and controls, service, water systems, and ongoing technical assistance. On a consistent and ongoing basis, Microgenics is the primary contractor for some of the largest independent SAMHSA laboratories in the U.S. Microgenics demonstrates an ability to supply the needs of the federal government's most stringent drug testing program. The diversity of government contract awards demonstrates Microgenics' ability to work with a variety of governmental agencies and their drug testing programs.

We at Microgenics look forward to the opportunity to demonstrate the same high quality products and services in servicing the State of New York.

## AUTHORIZED NEGOTIATORS

Microgenics Corporation represents that the following persons are authorized to negotiate on its behalf regarding all matters pertaining to this bid:

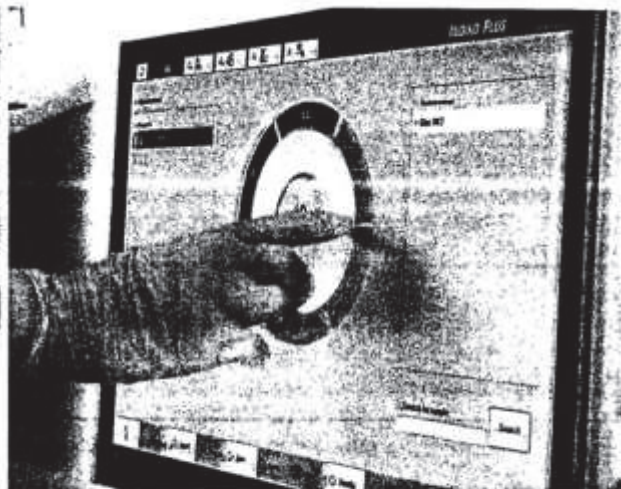
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# ATTACHMENT A







**Thermo Scientific Indiko Plus**  
Clinical and specialty chemistry system



## **Ideal and powerful solution** for operational excellence

Enzymes • Substrates • Electrolytes • Specific Proteins •  
Drugs of Abuse Analysis • Therapeutic Drug Monitoring •  
Immunosuppressant Drug Testing

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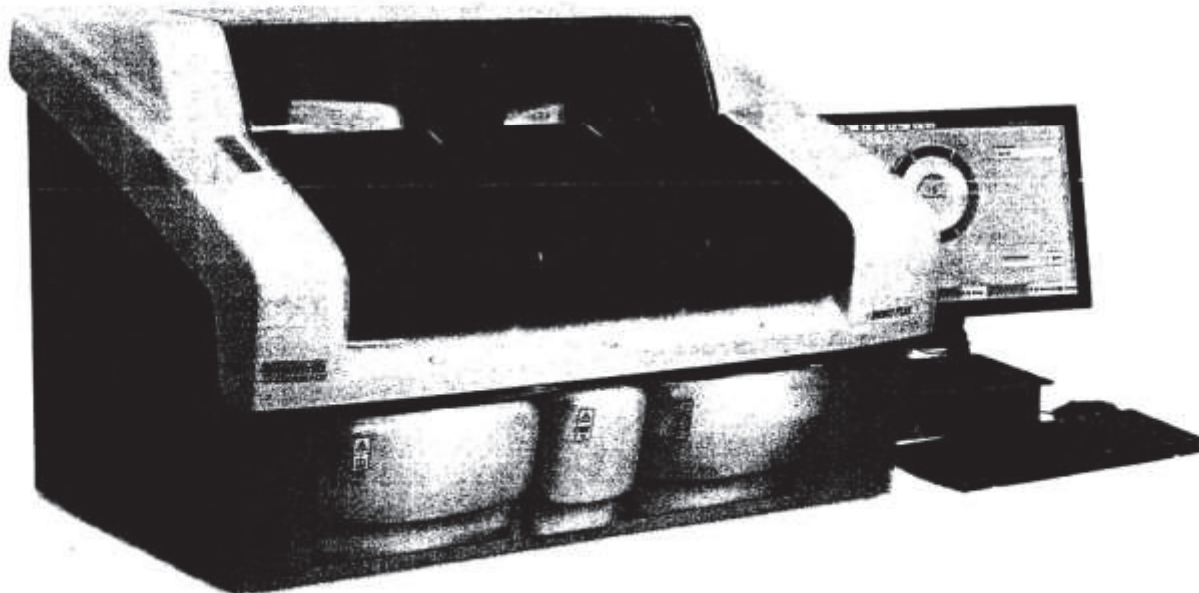
Thermo Scientific Indiko Plus is fully automated random access bench top system for clinical and specialty chemistry testing. Analyzer, system reagents and consumables form a fully supported system solution offering confidence to daily work. Various automated features help perform analysis in an easy and efficient way. Throughput of Indiko Plus is up to 350 tests/hour making it suitable for small and medium laboratory settings.

## Full automation

offering increased savings

Discrete cell technology enables simultaneous analysis of several different tests from the same sample, and different types of samples can be analyzed at the same time. Continuous access to samples, cuvettes and reagents facilitates laboratory workflow, and sample oriented testing generates results quickly, enhancing the quality of patient care.

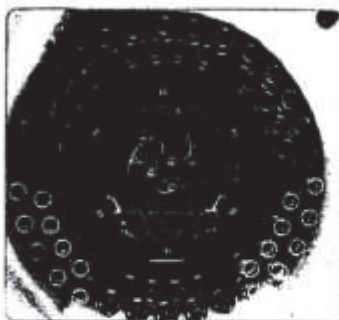
- Simple and quick daily start-up and maintenance procedures
- Disposable cuvettes allow user-safe and contamination free analysis
- Versatile, automated dilution features make sample processing easier
- Reflex testing capability offers savings in operator time triggering automatically the specific test to be run
- Measurement reliability can be monitored with a real-time QC program
- Automatic upload of calibrator and control values save time and reduce manual errors
- Results archiving associated with calibration and reagent lot data secure full traceability



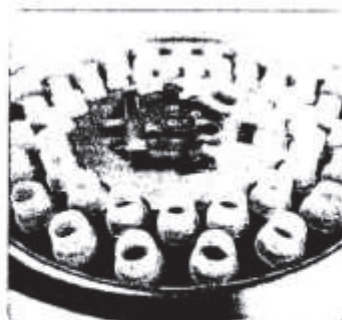


# Simplicity

in sample and reagent management



Sample disk for 54 samples - 9-pos. sample racks; max 6 racks. Any mix of sample cups and bar-coded primary tubes can be loaded at the same time.



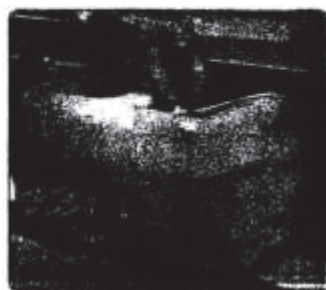
Reagent disk for 42 reagents. The reagent usage and expiry date are automatically monitored in real-time.



Cuvette loader for 360 cells. Low-volume reaction cuvette uses less reagent and water for lower environmental impact.



Temperature controlled incubator for 90 cuvette cells. Cuvettes are disposable, so there is no need for extra rinsing to prevent carry-over.



The analyzer is self-contained with no need for external water or drainage connections, which makes the analyzer quick and easy to install.



Optional ISE unit uses ion selective electrodes for Sodium, Potassium and Chloride measurements.



# Standardized performance with Thermo Scientific system reagents

Thermo Scientific reagents are ready-to-go, saving operator's time and reducing errors. The unique low-volume cuvette design guarantees small reagent volumes, minimal amount of reagent waste, and thus low reagent cost. Optimized kit sizes and on-board stability minimizes the amount of waste further and increases cost efficiency. Thermo Scientific methods are traceable to international reference methods and materials adding confidence in the accuracy and precision of patient results.





# Uncompromised

patient results

- Sample oriented analysis
- Fully validated and supported application protocols providing traceable results
- Optimized, ready-to-go system ready to go
- IVD compliant, automated, cost-effective results

# Confidence and ease-of-use

in daily routine



## Thermo Scientific Indiko Plus

*Capacity of up to 150 photometric tests / hour and 135 ISF tests / hour*

*Sample capacity: max 64 samples positions on-board*

*Reagent capacity: max 42 reagent positions on-board*

*Continuous access to samples, reagents and cuvettes without interrupting the testing process*

*Fully traceable results*

*Bio-directional LIS connection*

*Water consumption 2.5 liters / hour, no need for external water or drainage connections*

*Dimensions of the analyzer: width 94 cm / 37 inch, depth 76 cm / 29.9 inch, height 62 cm / 24.4 inch,*

*height with the open cover 100 cm / 39.4 inch*

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06-70112-01 (2/14)

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# ATTACHMENT B



## ATTACHMENT B

ThermoFisher Microgenics Reagent information  
Please see the literature piece included as well

### ASSAY/REAGENT SPECIFICATIONS

Microgenics has the most extensive menu of drugs of abuse immunoassays in the industry - and our menu keeps growing. Our experience in drugs of abuse testing allows for the anticipation of new drug screening challenges, and offering leading edge solutions. The CEDIA or DRI product platforms provide an important advantage to your testing program.

Microgenics proprietary DRI products are at the leading edge of a new generation of testing solutions offering high analytical accuracy while eliminating time-consuming steps in reagent preparation. These liquid, ready-to-use homogeneous enzyme immunoassays have been field-tested on a wide range of analyzers. They are enthusiastically accepted and used in laboratories for qualitative or semi quantitative determination of drugs in human urine where cost control and optimizing productivity are key issues. As new adulterant trends sweep through the testing pool, labs rely on Microgenics' Detect.

Microgenics offers the most extensive menu for drugs of abuse testing. Our products are optimized for a wide range of analyzers and backed by exceptionally responsive technical support. Our liquid, ready-to-use, calibrator and controls for drugs of abuse are offered in separate, convenient sizes to match lab needs. Many are offered in a multi-constituent platform to allow for multiple uses at one time. Our assays provide a simple and rapid analytical screening for detecting drugs in urine. For further confirmation of a urine sample, one should use methods such as GC/MS or LC/MS.

Microgenics reagents use specific antibodies which can detect drugs in urine with minimal cross-reactivity to various over-the-counter compounds. The assays are based on competition of a drug-labeled enzyme glucose-6-phosphate dehydrogenase (G6PDH). The free drug from the urine sample for a fixed amount of specific antibody binds the drug-labeled G6PDH and the enzyme activity is inhibited. This phenomenon creates a direct relationship between drug concentration in urine and the enzyme activity. The enzyme G6PDH activity is determined spectrophotometrically at 340 nm by measuring its ability to convert nicotinamide adenine dinucleotide (NAD) to NADH.



## Drugs of Abuse Screening Reagents:

Thermo Fisher Scientific is generating much of the industry momentum for bringing new diagnostic assays to the drugs of abuse market place. Understanding and responding to our customer's evolving needs has achieved the focus on these new products. Today, our proprietary products are at the leading edge of a new generation of testing solutions. Our products are optimized for a wide range of analyzers and backed by exceptionally responsive technical support.

Supported by one of the strongest research and development programs in the industry, we have leveraged our core technologies to develop three highly compatible product platforms.

- Drugs of Abuse Screening
- Specimen Validity Testing
- Oral Fluid Drug Testing

Here is a list of Drug Testing Screens that you will be able to run on your Indiko Plus Platform.

### Drugs of Abuse Urine Toxicology Screening

- Amphetamine/Methamphetamine
- Benzodiazepines
- Barbiturates
- Cocaine
- Cannabinoid (THC)
- Ethyl Alcohol
- LSD
- Methadone
- Methaqualone
- Opiate
- Propoxyphene
- Oxycodone
- Buprenorphine
- Heroin (6-acetylmorphine)
- Methadone Metabolite
- Ecstasy
- Cotinine
- Fentanyl
- ETG (Ethyl glucuronide)
- Hydrocodone
- TCA (tricyclic antidepressants)
- UR-144 – Synthetic THC \*Available May 2017
- AB Pinaca -Synthetic THC \*Available May 2017

#### **Oral Fluid Drug Screening**

- Oral Fluid Testing-Amphetamine
- Oral Fluid Testing-THC (MUST have cutoff of 1ng)
- Oral Fluid Testing-Cocaine
- Oral Fluid Testing-Methamphetamine
- Oral Fluid Testing-Opiate
- Oral Fluid Testing-PCP
- Oral Fluid Testing- Barbiturates \* Available May 2017
- Oral Fluid Testing- Benzodiazepines \* Available May 2017
- Oral Fluid Testing-Methadone \* Available May 2017
- Oral Fluid Testing-Oxycodone \* Available May 2017
- Oral Fluid Testing-Buprenorphine \* Available May 2017

#### **Specimen Validity Screening**

- Creatinine
- Oxidants
- pH
- Specific Gravity

# ATTACHMENT C





# Smart Notes

Hydrocodone is an antitussive and narcotic analgesic agent

Diagnostics

## Why test for Hydrocodone and Hydromorphone?

Q  
A

Hydrocodone is one of the most misused prescription drugs on the market, according to the Drug Enforcement Administration (1). It is a semi-synthetic opioid, most commonly known as Vicodin® and is prescribed as a cough suppressant and for the treatment of moderate to severe pain.

One of its metabolites, hydromorphone, is considered to be more potent than the parent drug, hydrocodone, and has the highest analgesic potency. Commonly prescribed under the brand name of Dilaudid®, hydromorphone is also used for the treatment of moderate to severe pain. (2)

Currently doctors face stiff penalties for over-prescribing hydrocodone to a patient. These same physicians are also coping with an addicted patient base, many of whom will lie about illnesses or "doctor shop" in order to gain access to additional prescriptions for the drug. As we move through the 21st century, hydrocodone addiction remains a growing problem in the community. (3)

### Hydrocodone and Hydromorphone Facts

- Listed as Schedule II drugs: high potential for abuse (1)
- Detection times depend upon dosage and metabolites excreted: (2)
  - Hydrocodone drug: up to 24 hours after use
  - Hydromorphone and its glucuronide metabolite: up to three days after use
- Opiate screens may give false negatives: limited detection sensitivity (4)
- Newly proposed SAMHSA Guidelines: now include testing for hydrocodone and hydromorphone (5)



**Thermo**  
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**Hydrocodone is metabolized by the liver into its major metabolite, hydromorphone; most of hydrocodone's effect is from hydromorphone.**

## More Facts About Hydrocodone and Hydromorphone

### Licit Use

#### Hydrocodone

>136 million prescriptions in 2013  
Most commonly prescribed as Vicodin® and Lortab®  
More effective than codeine as a cough suppressant  
Nearly as potent as morphine for pain relief

#### Hydromorphone

Approximately 4 million prescriptions in 2012  
Most commonly prescribed as Dilaudid®  
Metabolite of hydrocodone  
More potent than hydrocodone  
Prescribed for treatment of moderate to severe pain

### Illicit Use

Euphoria effects: continued abuse can cause severe dependence  
Can lead to heroin use: is cheaper than illegal pills (\$5 to \$50/tablet) and is abused by all ages and ethnic and economic groups (2)

### Side Effects

Nausea, vomiting  
Drowsiness, dizziness  
Lightheadedness, fuzzy thinking  
Anxiety: abnormally happy or sad mood  
Rash, itching  
Dry throat  
Difficulty urinating

### Overdose Symptoms

Slow, shallow or stopped breathing  
Slowed or stopped heartbeat  
Cold, clammy or blue skin  
Excessive sleepiness  
Loss of consciousness  
Seizures  
Death

## Metabolism and Detection in Urine

Hydrocodone is metabolized by the liver into its major metabolite, hydromorphone. Most of hydrocodone's effect is from hydromorphone. The active metabolite, hydromorphone, undergoes phase 2 metabolism to form hydromorphone-glucuronide. In a 48 hour urine, people who are rapid metabolizers secrete significantly more of a dose as conjugated hydromorphone (hydromorphone-glucuronide) than those who are poor metabolizers. Hydromorphone and its glucuronide metabolite can be detected for longer periods in urine. Hydromorphone is also a prescription drug under the name of Dilaudid®.

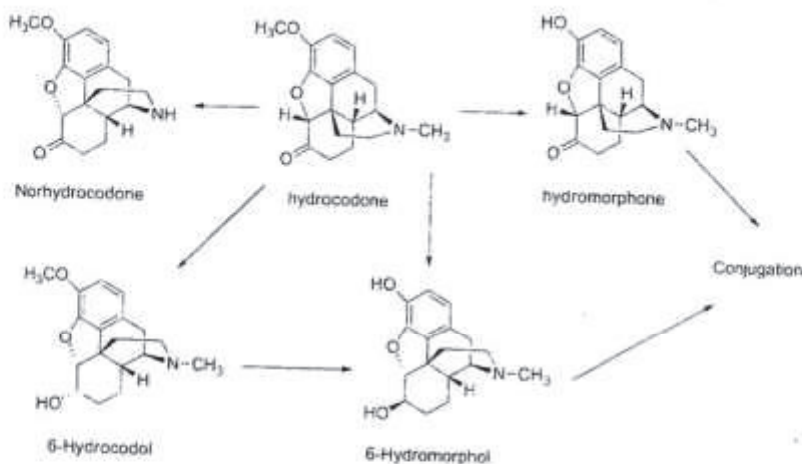


Figure 1: Metabolism of Hydrocodone

## How is it tested?

Hydrocodone and hydromorphone concentrations are measured in blood, plasma, and urine mostly by mass spectrophotometric techniques. Until recently, no hydrocodone specific immunoassays existed on the market. Opiate immunoassays were used instead; however, they were developed to detect morphine and are most sensitive to morphine and codeine.

Although some opiate immunoassays also detect hydrocodone and/or hydromorphone, sensitivities for these metabolites are not high enough, increasing the possibility of negative screening results when the drug, or the metabolite, is present in the urine.



# Why

The new classification of hydrocodone and hydromorphone as schedule II drugs requires even more diligence by clinicians and proof of patient compliance. (1)

## Screening for Hydrocodone and Hydromorphone

The newly proposed Substance Abuse and Mental Health Services Administration (SAMHSA) guidelines include hydrocodone and hydromorphone as additional analytes for workplace drug testing programs.

(2) Other organizations, such as the Department of Transportation, tend to follow the guidelines set forth by this agency.

Since hydrocodone and hydromorphone are now under schedule II as set forth by the Controlled Substances Act (October 2014), each prescription must be handwritten while the patient is present; as such, prescriptions can no longer be called in or faxed to pharmacies. Prescriptions can only be written for a 30-day supply, with no refills. (3)

Using an opiate immunoassay to screen for hydrocodone and hydromorphone may not be suitable to address the continuing rise in illicit use, meet the newly proposed SAMHSA guidelines (using a 300 ng/mL cut-off), and Schedule II regulations.

Given the wide-spread abuse of hydrocodone and hydromorphone, drug courts need to routinely screen for them as part of their drug treatment program.

The new classification of hydrocodone and hydromorphone as schedule II drugs requires even more diligence by clinicians and proof of patient compliance.

SAMHSA certified laboratories can no longer assume that opiate assays will provide the detection sensitivities.

Whether screening for misuse or abuse, prescription compliance, pre-employment or continuing employment immunoassays developed specifically for the detection of hydrocodone or hydromorphone as an initial screen can be used to be in compliance with the new regulations and address community health concerns.

## The Thermo Scientific Solution

We offer the Thermo Scientific™ DRI<sup>®</sup> Hydrocodone Assay with a cut-off of 300 ng/mL.

Below is an example of the assay's cross reactivity performance:

| Cross Reactants           | Concentration Tested (ng/mL) | % Cross-reactivity |
|---------------------------|------------------------------|--------------------|
| Hydrocodone               | 300                          | 100%               |
| Hydromorphone             | 250                          | 120%               |
| Hydromorphone-glucuronide | 250                          | 120%               |

**Hydrocodone is the most frequently prescribed opiate in the United States. There are several hundred brand names and generic combinations of hydrocodone products marketed.**

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# SmartNotes



## Why test for synthetic cannabinoids?

Synthetic cannabinoids are the largest and fastest growing group of new psychoactive substances (NPS) on the market.<sup>1</sup> Sold under the common brand names of "Spice," "K2," and "Kronic," they act upon the cannabinoid receptors in the body, mimicking to varying degrees the main active chemical found in marijuana ( $\Delta^9$ -THC). However, they can have higher potency and higher health risks to users than plant derived THC, causing severe effects such as violent behavior, suicidal thoughts, cognitive impairment, seizures, kidney damage, coma, and even death.<sup>2</sup> Poison Centers across the United States have experienced a significant increase in calls related to synthetic cannabinoids, tripling in number between 2014 and 2015 from 1,085 to 3,572.<sup>3</sup>

Synthetic cannabinoid chemicals are sprayed or soaked on to a mixture of shredded plant material and marketed mostly over the internet or in head shops as incense. Although the packages are labeled "not for human consumption," and marketed as legal and safe, they look like plant material, leaving people to believe that it is a safe alternative to marijuana.<sup>4</sup>

UR-144 and XLR-11 (a fluorinated form of UR-144, also known as 5-F-UR-144), AB-PINACA, AB-CHMINACA, and AB-FUBINACA are among the commonly used synthetic cannabinoid drugs, accounting for at least 60% of synthetic cannabinoids reported in the United States.<sup>5</sup> Due to their prevalence and potential for adverse health effects, the Drug Enforcement Administration (DEA) has placed both UR-144 and XLR-11 as Schedule I drugs under the Controlled Substance Act,<sup>6</sup> and as of January 2017, the DEA is in the final stages of placing AB-CHMINACA and AB-PINACA as Schedule I substances.<sup>7</sup>

### Synthetic Cannabinoids Facts

- **Largest group of New Psychoactive Substances (NPS) on the market**

- Mind-altering chemicals sprayed on dried, shredded plant materials can be smoked (herbal incense) or solid as liquids to be vaporized and inhaled in e-cigarettes and other devices (liquid incense).
- Increased disproportionately compared to other NPS groups: doubled in the last few years<sup>8</sup>

- **More toxic than cannabis**

- Four to one hundred times stronger than marijuana<sup>9</sup>
- Negative side effects: seizures, hypertension, nausea, vomiting, and even death<sup>10</sup>
- Shorter duration of action<sup>11</sup>
- On-set of effects: Peak in minutes versus hours<sup>12</sup>
- Linked to increased emergency room hospitalizations and fatalities<sup>13</sup>

- **DEA Schedule I Category: The most restrictive category for controlled substances**

- UR-144, XLR-11, AB-PINACA, AB-CHMINACA, and AB-FUBINACA account for 60% of synthetic cannabinoids reported in the US.
- UR-144 and XLR-11 are Schedule I substances<sup>14</sup>
- AB-PINACA and AB-CHMINACA: in last stages of finalizing as Schedule I substances<sup>15</sup>

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# The Thermo Scientific Solution

There are now two Synthetic Cannabinoid Assays which can be used for quick screening for the compounds which are most commonly found. The antibody in each of the assays cross reacts with multiple metabolites and structurally similar compounds, allowing for maximum detection of synthetic cannabinoids.

| DEA Schedule I Substance | Synthetic Cannabinoid Assays | Significant Cross-Reactants* | Minor Cross-Reactants† | Cutoff Concentration (ng/mL) |
|--------------------------|------------------------------|------------------------------|------------------------|------------------------------|
| 2017<br>in process       | CEDIA AB-PINACA              | 33                           | 11                     | 20 ng/mL                     |
| 2016                     | CEDIA UR-144/<br>XLR-11      | 15                           | 23                     | 10 ng/mL                     |

\*Tested positive above the cutoff

†Borderline Result. Tested negative but semi-quantitative value is near the cutoff

## Maximize Detection

### Screen for Presence of Drug

#### Qualitative Detection (Positive or Negative)

The cutoff concentration is important for qualitative screening, as it gives a result that confirms presence or absence of drug in the sample. Qualitative detection works especially well for prescription drugs which have validated cutoffs; this is because the pharmacokinetic properties are well understood and therefore, cutoff values are highly indicative of the presence or absence of prescription drugs. While qualitative detection works well for prescription drugs, it may not always be the most informative approach for "street drugs" such as synthetic cannabinoids.

### Monitor for Borderline Samples

#### Semi-quantitative (SQ) Detection (ng/mL)

Toxicologists state that "there are no established cutoffs for synthetic cannabinoids as little to nothing is known about dose effect relationship or detection windows and there are no established regulatory limits." The semi-quantitative option in the immunoassay lets you determine if borderline samples, which screen just below the cutoff, contain some level of synthetic cannabinoids. Detection using the semi-quantitative mode is especially important, as the type of synthetic cannabinoid offered in the market can change rapidly. These structurally similar compounds might be missed otherwise in the qualitative detection mode.

Semi-quantitative detection may identify suspect samples, especially from clients that demonstrate behaviors associated with having taken synthetic cannabinoids, as it is possible they might show drugs in the urine which may be below the cut-off. The semi-quantitative mode of detection also provides guidance to the LC-MS/MS lab for confirming if any structurally similar compounds may be present.

### Detect Compounds with Low Cross-Reactivity

#### The Cumulative Response

Structurally similar compounds may not be detected by themselves due to their low cross-reactivity (% cross-reactivity); however, they may give a positive result when multiple drugs are present simultaneously in the urine specimen. This is because the antibody cross-reacts with metabolites and multiple synthetic cannabinoid compounds. This leads to a cumulative response whereby multiple compounds may collectively contribute to a positive test result.

## Add clarity to your screening

AB-CHMINACA  
AB-PINACA AB-FUBINACA  
AB-CHMINACA ADBICA  
APP-CHMINACA  
5F-ABICA

UR-144 XLR-11  
PB22 AM1220  
AKB-48 JWH-073  
JWH-022 B522

For Criminal Justice and Forensic Use Only

# Benefits of Using the Thermo Scientific Synthetic Cannabinoid Assays

## CEDIA AB-PINACA Assay

- Specifically detects AB-PINACA, its fluorinated form (5F-AB-PINACA), and their major metabolites
- Detects a broad spectrum of metabolites and structurally similar compounds commonly abused: AB-CHMINACA, AB-FUBINACA, AB-CHMICA, ADBICA, 5F-ABICA, APP-CHMINACA and more
- Good correlation to LC-MS/MS
- For Criminal Justice and Forensic Use Only

## CEDIA UR-144/XLR-11 Assay

- Specifically detects UR-144 and its fluorinated form XLR-11 (5-F-UR-144) and their major metabolites
- Detects other structurally similar compounds commonly abused: UR-144 pentanoic acid, XLR-12, AM-2201, AM-1220, JWH-250 and metabolites, JWH-018 and metabolites, JWH-200, JWH-020, PB-22 pentanoic acid, AKB-48 metabolite, BB-22 and related metabolites
- Good correlation to LC-MS/MS
- For Criminal Justice and Forensic Use Only

## CEDIA Synthetic Cannabinoid Assay Benefits

- Qualitative and semi-quantitative detection
- Ability to monitor borderline samples below the cutoff with semi-quantitation: since synthetic cannabinoids are not naturally found in the body, a sample with a concentration close to the cutoff could be suspect, and an indication that the drug was taken (confirmed by LC-MS/MS)
  - When multiple compounds are present and contribute to the cumulative response
  - When present in high enough concentrations
- No significant cross reactivity to any other commonly abused drugs (i.e. opioids, over-the-counter drugs)
- Applications available on a wide range of clinical analyzers

## CEDIA AB-PINACA Assay Cross-Reactivity

The table below illustrates the numerous variants of AB-PINACA that can be detected using the Thermo Scientific CEDIA AB-PINACA Assay. Some variants have low cross reactivity and may not be detected by themselves; however, they may give a positive result due to cumulative response when multiple drugs are present simultaneously in the urine specimen (to be confirmed by LC-MS/MS). They may also give a positive result if present in the specimen in high enough concentrations.

**Significant Cross Reactants Table<sup>III</sup>**

| AB-PINACA Derivatives and Metabolites        | Tested Concentration (ng/mL) ‡ | SO Concentration (ng/mL) § | % Cross-Reactivity |
|--|--------------------------------|----------------------------|--------------------|
| AB-CHMINACA M1A                              | 14                             | 25                         | 179%               |
| 5-F-AB-PINACA                                | 14                             | 20.8                       | 149%               |
| AB-CHMINACA M1B                              | 18                             | 22.2                       | 123%               |
| AB-PINACA 5OH pentyl                         | 20                             | 23.7                       | 119%               |
| AB-PINACA 4OH                                | 20                             | 23.7                       | 119%               |
| AB-PINACA N-(4-fluoropentyl) isomer          | 20                             | 21.6                       | 108%               |
| AB-PINACA pentanoic acid                     | 20                             | 20                         | 100%               |
| AB-FUBINACA                                  | 25                             | 23.4                       | 94%                |
| AB-PINACA                                    | 25                             | 20.1                       | 80%                |
| 5-F-AB-PINACA N-(4-hydroxypentyl) metabolite | 28                             | 24.2                       | 86%                |
| AB-PINACA N-(3-fluoropentyl) isomer          | 32                             | 22.7                       | 71%                |
| AB-FUBINACA 3-fluorobenzyl isomer            | 40                             | 21.5                       | 54%                |
| AB-CHMINACA                                  | 66                             | 25.5                       | 39%                |
| AB-PINACA N-(2-fluoropentyl) isomer          | 85                             | 23                         | 27%                |
| AB-CHMICA                                    | 120                            | 35                         | 29%                |
| 5-chloro AB-PINACA                           | 140                            | 21.4                       | 15%                |
| AB-FUBINACA isomer 1                         | 150                            | 23.1                       | 15%                |
| 5-F-ABICA                                    | 200                            | 24.8                       | 12%                |
| ADB-FUBINACA                                 | 310                            | 21.2                       | 6.80%              |
| ADB-PINACA pentanoic acid                    | 450                            | 21                         | 4.70%              |
| APP-CHMINACA                                 | 475                            | 21                         | 4.40%              |
| 5-F-AMB                                      | 510                            | 21                         | 4.10%              |



**Significant Cross Reactants Table<sup>10</sup> continue**

| AB-PINACA Derivatives and Metabolites  | Tested Concentration (ng/mL) † | SQ Concentration (ng/mL) § | % Cross-Reactivity |
|--|--------------------------------|----------------------------|--------------------|
| AMB                                    | 730                            | 21.4                       | 2.90%              |
| AB-FUBINACA 2-fluorobenzyl isomer      | 800                            | 20.4                       | 2.60%              |
| ADB-PINACA RM                          | 2,500                          | 32.1                       | 1.30%              |
| ADBICA                                 | 2,500                          | 24.8                       | 1.00%              |
| APP-FUBINACA                           | 2,500                          | 22.2                       | 0.90%              |
| EMB-FUBINACA                           | 2,500                          | 20                         | 0.80%              |
| MAB-CHMINACA RM (ADB-CHMINACA)         | 5,000                          | 33.7                       | 0.70%              |
| AB-FUBINACA 2-fluorobenzyl isomer      | 5,000                          | 31.9                       | 0.60%              |
| JWH-250 N-(5-carboxypentyl) metabolite | 5,000                          | 26.5                       | 0.50%              |
| ADBICA pentanoic acid                  | 10,000                         | 35                         | 0.40%              |
| JWH-250 N-(4-hydroxypentyl) metabolite | 10,000                         | 34.1                       | 0.40%              |

**Minor Cross Reactants Table<sup>10</sup>**

| AB-PINACA Derivatives and Metabolites  | Tested Concentration (ng/mL) † | SQ Concentration (ng/mL) § | % Cross-Reactivity |
|--|--------------------------------|----------------------------|--------------------|
| MA-CHMINACA                            | 10,000                         | 19.5                       | 0.20%              |
| AB-CHMINACA M2                         | 10,000                         | 15.9                       | < 0.2%             |
| AB-FUBINACA isomer 5                   | 10,000                         | 17.7                       | < 0.2%             |
| AB-CHMINACA M3A                        | 10,000                         | 16.5                       | < 0.2%             |
| AB-PINACA carbonyl metabolite          | 10,000                         | 15.1                       | < 0.2%             |
| STS-135                                | 10,000                         | 10.3                       | < 0.2%             |
| JWH-018 adamantyl carboxamide          | 10,000                         | 9.6                        | < 0.2%             |
| AB-FUBINACA 2A metabolite              | 10,000                         | 9.3                        | < 0.2%             |
| AB-CHMINACA M6                         | 10,000                         | 8.8                        | < 0.2%             |
| JWH-073 N-(4-hydroxybutyl) metabolite  | 10,000                         | 8.7                        | < 0.2%             |
| JWH-250 N-(5-hydroxypentyl) metabolite | 10,000                         | 6.7                        | < 0.2%             |

#### CEDIA UR-144/XLR-11 Assay Cross-Reactivity

The table below illustrates the numerous variants of UR-144/XLR-11 that can be detected using the Thermo Scientific CEDIA UR-144/XLR-11 Assay. Some variants have low cross reactivity and may not be detected by themselves.

However, they may give a positive result due to the cumulative response when multiple drugs are present simultaneously in the urine specimen (to be confirmed by LC-MS/MS). They may also give a positive result if present in the specimen in high enough concentrations.

| UR-144 Derivatives and Metabolites         | Tested Concentration (ng/mL) † | SQ Concentration (ng/mL) § | % Cross-Reactivity |
|--|--------------------------------|----------------------------|--------------------|
| UR-144 N-(5-hydroxypentyl) β-D-glucuronide | 5                              | 12                         | 240%               |
| UR-144 N-(5-hydroxypentyl)                 | 5                              | 11                         | 220%               |
| UR-144 N-pentanoic acid                    | 10                             | 12                         | 120%               |
| XLR-11                                     | 15                             | 15                         | 100%               |
| XLR11 N-(4-pentenyl) analog                | 15                             | 14                         | 93%                |
| UR-144 N-(4-hydroxypentyl)                 | 15                             | 11                         | 73%                |
| UR-144                                     | 20                             | 11                         | 55%                |
| XLR 11 N-(2-fluoropentyl) isomer           | 20                             | 11                         | 55%                |
| XLR-12                                     | 25                             | 11                         | 44%                |
| UR-144 N-(2-hydroxypentyl)                 | 35                             | 11                         | 31%                |
| UR-144 N-(5-chloropentyl) analog           | 50                             | 14                         | 28%                |
| UR-144 N-(5-bromopentyl) analog            | 100                            | 17                         | 17%                |
| A-834,735                                  | 100                            | 12                         | 12%                |
| UR-144 N-heptyl analog                     | 100                            | 12                         | 12%                |
| A-836,339                                  | 100                            | 12                         | 12%                |

**Minor Cross Reactants Table<sup>11</sup>**

| UR-144 Derivatives and Metabolites | Tested Concentration (ng/mL) † | SQ Concentration (ng/mL) § | % Cross-Reactivity |
|------------------------------------|--------------------------------|----------------------------|--------------------|
| AB-005                             | 100                            | 1                          | 1.00%              |
| AM 2201 N-(4-hydroxypentyl)        | 250                            | 7                          | 3%                 |
| JWH 250 N-(5-hydroxypentyl)        | 500                            | 9                          | 2%                 |
| 5-Fluoro SDB-006                   | 500                            | 6                          | 1.20%              |
| JWH-018 N-pentanoic acid           | 500                            | 6                          | 1.20%              |
| AKB-48 N-pentanoic acid            | 500                            | 3                          | 0.60%              |
| AKB-48 N-(4-hydroxypentyl)         | 500                            | 2                          | 0.40%              |
| UR-144 Degradant                   | 500                            | 1                          | 0.20%              |
| AM1220                             | 1,000                          | 8                          | 0.80%              |

### Minor Cross Reactants Table\*\*

| UR-144 Derivatives and Metabolites          | Tested Concentration (ng/mL) † | SQ Concentration (ng/mL) § | % Cross-Reactivity |
|---|--------------------------------|----------------------------|--------------------|
| A-796260                                    | 1,000                          | 8                          | 0.80%              |
| JWH-073 N-butanolic acid                    | 1,000                          | 7                          | 0.70%              |
| JWH-018 N-(5-hydroxypentyl) 6-D-glucuronide | 1,000                          | 7                          | 0.70%              |
| JWH-200                                     | 1,000                          | 5                          | 0.50%              |
| JWH-018 N-(5-hydroxypentyl)                 | 1,000                          | 4                          | 0.40%              |
| JWH-018 N-(4-hydroxypentyl)                 | 1,000                          | 4                          | 0.40%              |
| 5-Fluoro AKB48 N-(4-hydroxypentyl)          | 1,000                          | 3                          | 0.30%              |
| JWH-073 N-(5-hydroxybutyl)                  | 1,000                          | 3                          | 0.30%              |
| FUB-144                                     | 1,000                          | 2                          | 0.20%              |
| UR-144 Desalkyl                             | 1,000                          | 2                          | 0.20%              |
| PB-22 N-pentanoic acid                      | 10,000                         | 8                          | 0.08%              |
| BB-22                                       | 10,000                         | 8                          | 0.08%              |
| PB-22 3-carboxyindole                       | 10,000                         | 2                          | 0.02%              |
| PB-22 N-pentanoic acid 3-carboxyindole      | 10,000                         | 1                          | 0.01%              |

† = Tested Concentration is the concentration of drug (ng/mL) that was spiked into a drug-free urine matrix (to mimic a sample).

§ = SQ Concentration is the value obtained in the analyzer from the spiked drug-free urine matrix sample (based on a 2 or 5 point calibration curve).

% Cross-Reactivity = SQ Concentration / Tested Concentration x 100

SQ = Semi-quantitation

The higher percent cross-reactivity means the higher the likelihood the compound will be detected. When the SQ Result is just below the cutoff value, it may give an indication that a sample could have drug(s) present. Since synthetic cannabinoids are not naturally found in the body, a sample with a concentration close to the cutoff may indicate that the drug was consumed (to be confirmed by LC-MS/MS). To monitor for these borderline samples, we recommend using the semi-quantitative mode when screening for synthetic cannabinoids.

For more information, please contact your local Thermo Fisher Scientific Sales Representative or call Technical Service at toll free 1-800-232-3342 or 510-979-5000, Option 2, then 3 or [techservice.mgc@thermofisher.com](mailto:techservice.mgc@thermofisher.com)

### Order Information

| Part Number        | CEDIA AB-PINACA Assay Description                           | Size                |
|--------------------|---|---------------------|
| <b>Reagent</b>     |   |                     |
| 10022971           | CEDIA AB-PINACA Assay                                       | 3 x 17 mL           |
| 10022977           | CEDIA AB-PINACA Assay                                       | 1 x 65 mL           |
| <b>Calibrators</b> |   |                     |
| 10022930           | CEDIA Negative Calibrator III                               | 1 x 7.5 mL          |
| 10022931           | CEDIA AB-PINACA 5 ng/mL Cal                                 | 1 x 5 mL            |
| 10022932           | CEDIA AB-PINACA 20 ng/mL Cal                                | 1 x 5 mL            |
| 10022933           | CEDIA AB-PINACA 50 ng/mL Cal                                | 1 x 5 mL            |
| 10022934           | CEDIA AB-PINACA 100 ng/mL Cal                               | 1 x 5 mL            |
| <b>Controls</b>    |   |                     |
| 10022935           | CEDIA AB-PINACA Control Set Low (10 ng/mL), High (30 ng/mL) | 2 x 5 mL each level |

| Part Number        | CEDIA UR-144/XLR-11 Assay Description                   | Size                |
|--------------------|---|---------------------|
| <b>Reagent</b>     |   |                     |
| 10022949           | CEDIA UR-144/XLR-11 Assay                               | 3 x 17 mL           |
| 10022955           | CEDIA UR-144/XLR-11 Assay                               | 1 x 65 mL           |
| <b>Calibrators</b> |   |                     |
| 10022753           | CEDIA Negative Calibrator II                            | 1 x 10 mL           |
| 10022754           | CEDIA UR-144 10 ng/mL Cal                               | 1 x 5 mL            |
| 10022755           | CEDIA UR-144 20 ng/mL Cal                               | 1 x 5 mL            |
| 10022756           | CEDIA UR-144 40 ng/mL Cal                               | 1 x 5 mL            |
| 10022759           | CEDIA UR-144 60 ng/mL Cal                               | 1 x 5 mL            |
| <b>Controls</b>    |   |                     |
| 10022760           | CEDIA UR-144 Control Set Low (5 ng/mL), High (15 ng/mL) | 2 x 5 mL each level |

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10. The Thermo Scientific CEDIA AB-PINACA Assay package insert.
11. The Thermo Scientific CEDIA UR-144/XLR-11 Assay package insert.

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To fax an order, use 1-800-829-8115

To order online: [mgo.customerservice@thermofisher.com](mailto:mgo.customerservice@thermofisher.com)

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AN10021642-DMTL SyntheticCannabinoid SmartNotes 2017 04



## ATTACHMENT C

WILL NOW REPORT IN ALPHABETICAL ORDER]  
Result Report

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Date 21.9.2017  
Time 12:09:04

User  
Software version: 6.0.1

Adirondack Correctional Facility  
196 Ray Brook Road  
P.O. Box 110  
Ray Brook, New York 12977-0110

|                            |          |             |         |
|----------------------------|----------|-------------|---------|
| Inmate name                | Lisa Doe | Sample ID   | Sample2 |
| Inmate ID                  | 14325    | Sample type | Urine   |
| Ref. ranges<br>information |          | Sender      |         |

| Test      | Result | Unit  | Cut off limit | Interpret. Flags | Result time     |
|-----------|--------|-------|---------------|------------------|-----------------|
| AB-Panaca | 0      | U/L   | 10            | NEG              | 21.9.2017 10:57 |
| Cocaine   | 1 000  | ng/ml | 150           | POS              | 21.9.2017 10:57 |
| UR-144    | 0      | U/L   | 10            | NEG              | 21.9.2017 10:57 |
| THC       | 100    | ng/mL | 50            | POS              | 21.9.2017 10:57 |
| Opiates   | 1 000  | ng/mL | 300           | POS              | 21.9.2017 10:57 |
| Bupren    | 81     | ng/ml | 10            | POS Abs high     | 21.9.2017 10:57 |

|                            |          |             |         |
|----------------------------|----------|-------------|---------|
| Inmate name                | J. JONES | Sample ID   | Sample2 |
| Inmate ID                  | 15623    | Sample type | Urine   |
| Ref. ranges<br>information |          | Sender      |         |

| Test      | Result | Unit  | Cut off limit | Interpret. Flags | Result time     |
|-----------|--------|-------|---------------|------------------|-----------------|
| AB-Panaca | 7      | U/L   | 10            | NEG              | 21.9.2017 10:53 |
| Cocaine   | 1 000  | ng/ml | 150           | POS              | 21.9.2017 10:53 |
| UR-144    | 0      | U/L   | 10            | NEG              | 21.9.2017 10:53 |
| THC       | 100    | ng/mL | 50            | POS              | 21.9.2017 10:53 |
| Opiates   | 1 000  | ng/mL | 300           | POS              | 21.9.2017 10:53 |
| Bupren    | 81     | ng/ml | 10            | NEG              | 21.9.2017 10:53 |







## Result Report

Page 1 / 1

Date 21.9.2017

User

Adirondack Correctional Facility

Time 12:09:04

Software version: 6.0.1

196 Ray Brook Road

P.O. Box 110

Ray Brook, New York 12977-0110

Inmate name Lisa Doe

Inmate ID 14325

Ref. ranges

Information

Sample ID

Sample2

Sample type

Urine

Sender

| Test      | Result | Unit  | Cut off limit | Interpret. Flags | Result time     |
|-----------|--------|-------|---------------|------------------|-----------------|
| AB-Panaca | 0      | U/l   | 10            | NEG              | 21.9.2017 10:57 |
| Cocaine   | 1 000  | ng/ml | 150           | POS              | 21.9.2017 10:57 |
| UR-144    | 0      | U/l   | 10            | NEG              | 21.9.2017 10:57 |
| THC       | 100    | ng/mL | 50            | POS              | 21.9.2017 10:57 |
| Opiates   | 1 000  | ng/mL | 300           | POS              | 21.9.2017 10:57 |
| Bupren    | 81     | ng/ml | 10            | POS Abs. high    | 21.9.2017 10:57 |



# ATTACHMENT D





## Results by Test

Page 1 / 1

Date 21.9.2017

User

Adirondack Correctional Facil.

Time 12:08:42

Software version: 6.0.1

196 Ray Brook Road

P.O. Box 110

Ray Brook, New York 12977-0110

Test name Cocaine

| Sample/ctrl ID | Result | Unit  | Interpret. | Flags | Result time        |
|----------------|--------|-------|------------|-------|--------------------|
| Sample1        | 1 000  | ng/ml | POS        |       | 21.9.2017 10:55:49 |
| Sample2        | 1 000  | ng/ml | POS        |       | 21.9.2017 10:55:55 |





# ATTACHMENT E



## ATTACHMENT E

ThermoFisher Microgenics start-up kit and consumable list

| Indiko Plus start up products shipped with instrument install |                            |                |          |
|---|----------------------------|----------------|----------|
| Part #  | Item                       | Packaged       | start up |
| 986000  | TENCELL cuvettes           | Box/10,800 pcs | 1        |
| 989221  | 2 mL sample cups           | 1000/bag       | 1        |
| 984030  | Washing solution 4.5%      | 4x20 mL        | 5        |
| 980929  | Washing solution 4.5%      | 6 x 100 mL     | 1        |
| 981712  | Tubing maint. Solution kit | 1/ each        | 1        |
| 981704  | IQ Kit- Dispensing         | 1/each         | 1        |
| 981456  | Plastic reagent vessel     | 16/package     | 1        |
| 10017331  | 1 mL nesting cups          | 1000/case      | 1        |
| 10017332  | Test tubes (13 x75)        | 1000/case      | 1        |
| 10019898  | Transfer pipettes 8.5 mL   | 1000/case      | 1        |

| Indiko Plus consumables shipped at no additional cost |                            |                  |
|---|----------------------------|------------------|
| Part #  | Item                       | Packaged         |
| 986000  | TENCELL cuvettes           | 1 Box/10,800 pcs |
| 989221  | 2 mL sample cups           | 1 bag of 1000    |
| 984030  | Washing solution 4.5%      | 4x20 mL          |
| 980929  | Washing solution 4.5%      | 6 x 100 mL       |
| 981712  | Tubing maint. Solution kit | 1/ each          |
| 981456  | Plastic reagent vessel     | 1 package of 16  |
| 10017331  | 1 mL nesting cups          | 1 case of 1000   |
| 10017332  | Test tubes (13 x75)        | 1 case of 1000   |
| 10019898  | Transfer pipettes 8.5 mL   | 1 case of 1000   |



# ATTACHMENT F



**NYS DOC**  
**Option for install/validation and training**

| 2018 September |         |         |                                |                       |                     |                      |
|----------------|---------|---------|--------------------------------|-----------------------|---------------------|----------------------|
| SUNDAY         | MONDAY  | TUESDAY | WEDNESDAY                      | THURSDAY              | FRIDAY              | SATURDAY             |
|                |         |         |                                |                       |                     | 1                    |
|                |         |         |                                |                       |                     |                      |
|                |         |         |                                |                       |                     |                      |
|                |         |         |                                |                       |                     |                      |
| 2              | 3       | 4       | 5                              | 6                     | 7                   | 8                    |
|                |         |         |                                |                       |                     |                      |
|                | HOLIDAY |         |                                |                       |                     | 0                    |
|                |         |         |                                |                       |                     |                      |
|                |         |         |                                |                       |                     |                      |
|                |         |         |                                |                       |                     |                      |
| 9              | 10      | 11      | 12                             | 13                    | 14                  | 15                   |
|                |         |         | Gowanda Install and validation | Gowanda Training 1    | Gowanda Training 2  |                      |
|                |         |         | Lakeview install +validation   | Lakeview training 1   | Lakeview Training 2 | 3                    |
|                |         |         | Collins install +validation    | Collins Training 1    | Collins Training 2  |                      |
| 16             | 17      | 18      | 19                             | 20                    | 21                  | 22                   |
|                |         |         | WY CF Training 1               | WY CF Training 2      |                     |                      |
|                |         |         | Wende CF Training 1            | Wende Training 2      |                     |                      |
|                |         |         | Attica CF Training 1           | Attica CF Training 2  |                     | 5                    |
|                |         |         | Albion Install +validation     | Albion Training 1     | Albion Training 2   |                      |
|                |         |         | Orleans Install+validation     | Orleans Training 1    | Orleans training 2  |                      |
| 23             | 24      | 25      | 26                             | 27                    | 28                  | 29                   |
|                |         |         | Groveland Training 1           | Groveland Training 2  |                     |                      |
|                |         |         | Livingston Training 1          | Livingston Training 2 |                     |                      |
|                |         |         | Rochester training 1           | Rochester Training 2  |                     | 5                    |
|                |         |         | Auburn install +validation     | Auburn Training 1     | Auburn Training 2   |                      |
|                |         |         | Canasta install +validation    | Canasta Training 1    | Canasta training 2  |                      |
| 30th           |         |         |                                |                       |                     | total for month = 13 |

**NYSDOC**  
**Option for install / validation and training**

| 2018 October Calendar |                               |                                 |                                 |                         |                         |          |
|-----------------------|-------------------------------|---------------------------------|---------------------------------|-------------------------|-------------------------|----------|
| SUNDAY                | MONDAY                        | TUESDAY                         | WEDNESDAY                       | THURSDAY                | FRIDAY                  | SATURDAY |
|                       | 1                             | 2                               | 3                               | 4                       | 5                       | 6        |
|                       |                               | Willard install +validation     | Willard training 1              | Willard Training 2      |                         | 4        |
|                       |                               | Five Points install+validation  | Five Points Training 1          | Five Points Training 2  |                         |          |
|                       |                               | Elmira install +validation      | Elmira Training 1               | Elmira training 2       |                         |          |
|                       |                               | Southport install+validation    | Southport Training 1            | Southport Training 2    |                         |          |
| 7                     | 8                             | 9                               | 10                              | 11                      | 12                      | 13       |
|                       |                               | Washington install+validation   | Washington Training 1           | Washington Training 2   |                         | 5        |
|                       |                               | Cape Vincent install+validation | Cape Vincent Training 1         | Cape Vincent Training 2 |                         |          |
|                       |                               |                                 | Ogdensburg install +Validation  | Ogdensburg Training 1   | Ogdensburg training 2   |          |
|                       |                               |                                 | Gouverneur install+Validation   | Gouverneur Training 1   | Gouverneur Training 2   |          |
|                       |                               |                                 | Riverview install+Validation    | Riverview Training 1    | Riverview Training 2    | 20       |
| 14                    | 15                            | 16                              | 17                              | 18                      | 19                      |          |
|                       |                               | Bare Hill install+validation    | Bare Hill Training 1            | Bare Hill Training 2    |                         | 4        |
|                       |                               | Franklin install+Validation     | Franklin Training 1             | Franklin Training 2     |                         |          |
|                       |                               |                                 | Upstate install +Validation     | Upstate Training 1      | Upstate Training 2      |          |
|                       |                               |                                 | Altona install+Validation       | Altona Training 1       | Altona Training 2       |          |
| 21                    | 22                            | 23                              | 24                              | 25                      | 26                      | 27       |
|                       | Clinton install +Validation   | Clinton Training 1              | Clinton Training 2              |                         |                         | 4        |
|                       | Washington install validation | Washington Training 1           | Washington training 2           |                         |                         |          |
|                       |                               |                                 | Great meadow install+Validation | Great Meadow Training 1 | Great Meadow training 2 |          |
|                       |                               |                                 | Adirondack install+validation   | Adirondack Training 1   | Adirondack Training 2   |          |
| 28                    | 29                            | 30                              | 31                              | October                 | 2nd November            |          |
|                       | Marcy install+Validation      | Marcy Training 1                | Marcy Training 2                |                         |                         | 4        |
|                       | Hale Creek install+validation | Hale Creek Training 1           | Hale Creek Training 2           |                         |                         |          |
|                       |                               |                                 | Midstate install+validation     | Midstate Training 1     | Midstate Training 2     |          |
|                       |                               |                                 | Mohawk install+validation       | Mohawk Training 1       | Mohawk Training 2       |          |
| This month total= 21  |                               |                                 |                                 |                         |                         |          |

**NYS DOC**  
**OPTION Calendar for install/validation and training**

| November 2018 Calendar |                                   |                               |                                |                        |                        |          |
|------------------------|-----------------------------------|-------------------------------|--------------------------------|------------------------|------------------------|----------|
| SUNDAY                 | MONDAY                            | TUESDAY                       | WEDNESDAY                      | THURSDAY               | FRIDAY                 | SATURDAY |
|                        |                                   |                               |                                | 1                      | 2                      |          |
|                        |                                   |                               |                                | see Oct end            |                        | na       |
|                        |                                   |                               |                                |                        |                        |          |
| 4                      | 5                                 | 6                             | 7                              | 8                      | 9                      | 0        |
|                        |                                   |                               | Hudson Install +Validation     | Hudson Training 1      | Hudson Training 2      |          |
|                        |                                   |                               | Green Haven Install+Validation | Green Haven Training 1 | Green Haven Training 2 |          |
|                        | Greene Install +Validation        | Greene training 1             | Greene training 2              |                        |                        | 5        |
|                        | Coxsackie software only           | Coxsackie Training 1          | Coxsackie Training 2           |                        |                        |          |
|                        |                                   | Fishkill Install+Validation   | Fishkill Training 1            | Fishkill Training 2    |                        |          |
| 11                     | 12                                | 13                            | 14                             | 15                     | 23                     | 24       |
|                        | Woodbourne Install +Validation    | Woodbourne Training 1         | Woodbourne Training 2          |                        |                        |          |
|                        | Sullivan Install+Validation       | Sullivan Training 1           | Sullivan Training 2            |                        |                        | 4        |
|                        |                                   |                               | Downstate Install+Validation   | Downstate Training 1   | Downstate Training 2   |          |
|                        |                                   |                               | Otisville install+training     | Otisville Training 1   | Otisville Training 2   |          |
| 18                     | 19                                | 20                            | 21                             | 22                     | 23                     | 24       |
|                        | Eastern Install+validation        | Eastern Training 1            | Eastern Training 2             |                        |                        |          |
|                        | Ulster Install+Valida ion         | Ulster training 1             | Ulster Training 2              |                        |                        | 4        |
|                        |                                   |                               | Walkill Install+ Validation    | Walkill Training 1     | Walkill Training 2     |          |
|                        |                                   |                               | Bedford Install+validation     | Bedford Training 1     | Bedford Training 2     |          |
| 25                     | 26                                | 27                            | 28                             | 29                     | 30                     |          |
|                        | Bedford Hills Install +Validation | Bedford Training 1            | Bedford Training 2             |                        |                        |          |
|                        | Singsing Install+Valida ion       | Singsing Training 1           | Singsing Training 2            |                        |                        |          |
|                        |                                   | Lincoln Install+Validation    | Lincoln Training 1             | Lincoln Training 2     |                        | 5        |
|                        |                                   | Queensboro Install+Validation | Queensboro Training 1          | Queensboro Training 2  |                        |          |
|                        |                                   | Edgecombe Install+Validation  | Edgecombe Training 1           | Edgecombe Training 2   |                        |          |
| total for month18      |                                   |                               |                                |                        |                        |          |

total installed = 51 plus Coxs software





# Corrections and Community Supervision

## INVITATION FOR BIDS (IFB) 2018-06 URINALYSIS ANALYZERS

Issue Date: May 1, 2018

Bid Due Date & Time: May 23, 2018 – 3:00 p.m.

Contract Period: September 1, 2018 – August 31, 2023

### Designated Contact

Name: Marla Henriquez-Nepaulsingh  
Phone: (518) 436-7886 ext. 3135  
Email: [doccscontracts@doccs.ny.gov](mailto:doccscontracts@doccs.ny.gov)

### Alternate Designated Contact

Name: David Gambacorta  
Phone: (518) 436-7886 ext. 3135  
Email: [doccscontracts@doccs.ny.gov](mailto:doccscontracts@doccs.ny.gov)

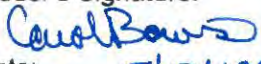


## BID SIGNATURE PAGE

The bid must be fully and properly executed by an authorized person. By signing you certify your express authority to sign on behalf of yourself, your company, or other entity and full knowledge and acceptance of this INVITATION FOR BIDS, Appendix A (Standard Clauses For New York State Contracts), Appendix B (General Specifications), and State Finance Law §139-j and §139-k (Procurement Lobbying), and that all information provided is complete, true and accurate. By signing, bidder affirms that it understands and agrees to comply with DOCCS procedures relative to permissible contacts as required by State Finance Law §139-j(3) and §139-j(6)(b). Bidders are requested to retain Appendix A and Appendix B for future reference.

Procurement Lobbying information may be accessed at:

<http://www.ogs.ny.gov/aboutogs/regulations/defaultAdvisoryCouncil.html>

|  |                        |                    |   |   |  |
|--|------------------------|--------------------|---|---|--|
| Legal Business Name of Company Bidding:<br><b>Microgenics Corporation</b>  |                        |                    |   | NYS Vendor Identification Number:<br>(see NYS vendor file registration clause)<br><b>1000009626</b> |  |
| D/B/A – Doing Business As (if applicable):<br><b>Thermo Fisher Scientific</b>  |                        |                    |   | Federal Tax Identification Number:<br>(do not use Social Security Number)<br><b>68-0418167</b>      |  |
| Street<br><b>46500 Kato Road</b>   | City<br><b>Fremont</b> | State<br><b>CA</b> | Zip<br><b>94538</b>   | County<br><b>Alameda</b>  |  |
| <p>If applicable, place an "x" next to each that apply:</p> <p> <input type="checkbox"/> New York State Small Business<br/> <input type="checkbox"/> New York State Certified Minority-owned Business Enterprise (MBE)<br/> <input type="checkbox"/> New York State Certified Woman-owned Business Enterprise (WBE)         </p> <p>Vendor Responsibility Questionnaire Filed Online: <input checked="" type="checkbox"/> Yes    <input type="checkbox"/> No</p> <p>Do you understand and is your firm capable of meeting the insurance requirements to enter into a contract with New York State?    <input checked="" type="checkbox"/> Yes    <input type="checkbox"/> No</p> <p>Does your bid proposal meet all the requirements of this solicitation?    <input checked="" type="checkbox"/> Yes    <input type="checkbox"/> No</p> |                        |                    |   |   |  |
| <p>If you are not bidding, place an "x" in the box and return this page only.</p> <p><input type="checkbox"/> WE ARE UNABLE TO BID AT THIS TIME BECAUSE _____</p> <p>_____</p> <p>_____</p>  |                        |                    |   |   |  |
| Phone: <b>510-979-5000</b><br>Fax: <b>510-979-5008</b>   |                        |                    | Toll Free Phone:<br><b>1-800-232-3392</b>   |   |  |
| E-mail Address:<br><b>USFMTMCC-Contractsadmin@thermofisher.com</b>   |                        |                    | Company Web Site:<br><b>www.thermofisher.com</b>                                    |   |  |
| Bidder's Signature:<br><br>Date: <b>5/17/18</b>   |                        |                    | Printed or Typed Name:<br><b>Carol Bowers</b><br>Title: <b>Sr. Finance Director</b> |   |  |

**RETURN THIS PAGE AS PART OF THE BID**



INDIVIDUAL, CORPORATION, PARTNERSHIP, OR LLC ACKNOWLEDGMENT

STATE OF California }  
COUNTY OF } SS.:

On the 17 day of May in the year 2018, before me personally appeared \_\_\_\_\_, known to me to be the person who executed the foregoing instrument, who, being duly sworn by me did depose and say that **She** resides at \_\_\_\_\_,

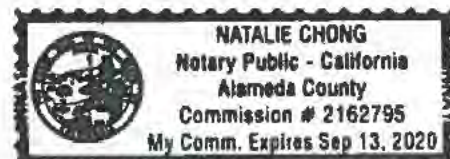
Town of \_\_\_\_\_,

County of Alameda, State of California; and further that:

**[Check One]**

- ☐ If an individual): he executed the foregoing instrument in his/her name and on his/her own behalf.
- ☒ If a corporation): She is the Sr. Finance Director of Microgenics Corporation, Niche, CDD, the corporation described in said instrument; that, by authority of the Board of Directors of said corporation, **She** is authorized to execute the foregoing instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that authority, **She** executed the foregoing instrument in the name of and on behalf of said corporation as the act and deed of said corporation.
- ☐ If a partnership): he is the \_\_\_\_\_ of \_\_\_\_\_, the partnership described in said instrument; that, by the terms of said partnership, he is authorized to execute the foregoing instrument on behalf of the partnership for purposes set forth therein; and that, pursuant to that authority, he executed the foregoing instrument in the name of and on behalf of said partnership as the act and deed of said partnership.
- ☐ If a limited liability company): he is a duly authorized member of \_\_\_\_\_, LLC, the limited liability company described in said instrument; that he is authorized to execute the foregoing instrument on behalf of the limited liability company for purposes set forth therein; and that, pursuant to that authority, he executed the foregoing instrument in the name of and on behalf of said limited liability company as the act and deed of said limited liability company.

Natalie Chong  
Notary Public  
Registration No.



RETURN THIS PAGE AS PART OF THE BID

**CHECKLIST****IFB 2018-06 URINALYSIS ANALYZERS**

All bidders must complete the checklist presented below and submit the following forms listed in the checklist as required for each bid submission.

**SUBMISSION DOCUMENTS PACKAGE (SIGNATURES REQUIRED)**

This Checklist



Completed Bid Signature Page (pages 2-3)



Bidder's Federal Tax Identification Number



NYS Vendor Identification Number



Bidder's Signature

Individual, Corporation, Partnership, or LLC Acknowledgement (*must be notarized*)

Completed Procurement Lobbying Certification (page 8)



Bid Response / Signature Page (pages 2)



Bid Cost Sheet (pages 28-30)



Notes to Bidders and Questions (pages 31-32)

Vendor Responsibility Questionnaire – Check one of the following:

Paper Submission

**OR**Electronic Filing - Certified Date: 9-21-2017*(Must be certified within the last 6 months)*

Non-Disclosure Form (Attachment B)



Vendor Assurance of No Conflict of Interest or Detrimental Effect (Attachment C)

Contractor Certification Forms (*Must Be Notarized*)Form ST-220-TD (*File Directly with the Department of NYS Tax & Finance*)Form ST-220-CA (*Submit with Bid*)

M/WBE – Equal Employment Opportunity Policy Statement (Appendix C)



Equal Employment Opportunity (EEO) Staffing Plan (Appendix C)

Signature

Lovetta Barkus

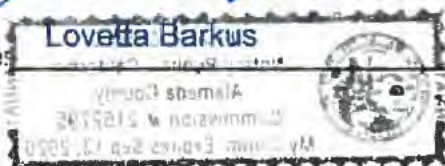
Date:

5-17-2018

Print Name:

Lovetta Barkus

Name of Company:

Microgenics Corporation**RETURN THIS PAGE AS PART OF THE BID**

## GENERAL INFORMATION

### **PURPOSE:**

This Invitation for Bids (IFB) is issued by the New York State Department of Corrections and Community Supervision (DOCCS). The purpose of this bid is for DOCCS to obtain competitive prices for reagent rentals of bench top urinalysis analyzer services to be used in its correctional facilities for inmates. The bidder must also include the installation, training, technical support, and maintenance of equipment in DOCCS facilities.

### **SPECIFICATIONS:**

Detailed specifications for this solicitation are provided in the Scope of Services, page 25-26, in this IFB.

DOCCS intends to award one vendor a contract for this service. The term of this contract will be for a period of five (5) years, effective September 1, 2018 through August 31, 2023.

### **INQUIRIES / ISSUING OFFICE:**

All inquiries concerning this specification will be addressed to the following **Designated Contact:**

#### **PRIMARY CONTACT**

Marla Henriquez-Nepaulsingh  
NYSDOCCS  
Division of Support Operations / Contract  
Procurement Unit  
550 Broadway  
Menands, NY 12204  
Phone No.: 518-436-7886, ext. 3135  
E-Mail: Doccscontracts@doccs.ny.gov

#### **SECONDARY CONTACT**

David Gambacorta  
NYSDOCCS  
Division of Support Operations / Contract  
Procurement Unit  
550 Broadway  
Menands, NY 12204  
Phone No.: 518-436-7886, ext. 3135  
E-Mail: Doccscontracts@doccs.ny.gov

**Contacting someone else may result in rejection of bid – see “Procurement Lobbying Act”.**

All questions should be submitted in writing, citing the particular bid sections and paragraph number. Bidders are cautioned to read this document thoroughly to become familiar with all aspects of the bid. Prospective Bidders should note that all clarifications and exceptions including those relating to the terms and conditions of the contract are to be resolved prior to the submission of a bid. Answers to all questions of a substantive nature will be given to all Prospective Bidders in the form of a formal addendum which will become part of the ensuing contract. Bidders entering into a contract with the State are expected to comply with all the terms and conditions contained herein.

### **KEY EVENTS/DATES:**

|   |                   |
|---|-------------------|
| Invitation for Bids (IFB) Issued              | May 1, 2018       |
| Written Bidders' Questions Deadline           | May 11, 2018      |
| DOCCS Issues Answers to Questions (estimated) | May 15, 2018      |
| Bids Due to DOCCS                             | May 23, 2018      |
| Tentative Award Made (estimated)              | May 25, 2018      |
| Contract Start Date                           | September 1, 2018 |

### **QUALIFICATION OF BIDDERS:**

Bidders must be actively engaged in reagents drug testing/urinalysis analyzer services for a minimum of five (5) years.



## GENERAL INFORMATION

DOCCS reserves the right to investigate or make any inquiry into the capabilities of any bidder to properly perform under any resultant contract. See "Performance Qualifications," "Disqualification for Past Performance" and "Employees/Subcontractors/Agents" in Appendix B, Specifications.

### **REQUIREMENTS:**

- A. Contractor must be able to perform all of the services outlined in the, Scope of Services.
- B. Contractor will comply with all standards and appropriate regulations governing contracts with the State of New York (Appendix A – January 2014).
- C. No illegal drug use of any type or alcoholic beverages by the Contractor or its personnel shall be permitted in the performance of the contract.
- D. Contractor agrees to take all steps reasonably necessary to protect the secrecy of the Confidential Information, and to prevent the Confidential Information from falling into the public domain or into the possession of unauthorized persons. Such steps shall include keeping Confidential Information stored where only authorized personnel would have access.

**IMPORTANT NOTICE TO POTENTIAL BIDDERS:** Receipt of these bid documents does not indicate that the NYS Department of Corrections and Community Supervision (DOCCS) – Contract Procurement Unit (CPU) has pre-determined your company's qualifications to receive a contract award. Such determination will be made after the bid opening and will be based on our evaluation of your bid submission compared to the specific requirements and qualifications contained in these bid documents.

### **NOTICE TO BIDDERS:**

The DOCCS - Contract Procurement Unit (CPU) will receive bids pursuant to the provisions of Article XI of the State Finance Law or the provisions of the State Printing and Public Documents Law. The following procedures shall be used for bid submittals:

#### **1. BID PREPARATION**

Prepare your bid on this form using indelible ink. Print the name of your company on each page of the bid in the block provided. One copy of the bid is required, unless otherwise specified herein.

#### **2. BID SUBMISSION**

When submitting your bid, please submit complete original bid package, including all bidder questions and required certifications. You are not required to return Appendix A and Appendix B to this office. You may keep all those pages for your own reference.

#### **3. BID DELIVERY**

**Bidders assume all risks for timely, properly submitted deliveries.** Bidders are strongly encouraged to arrange for delivery of bids to DOCCS - CPU prior to the date of the bid opening. **LATE BIDS may be rejected. E-mail bid submissions are not acceptable and will not be considered.**

- **Bid envelopes**

The envelope containing a bid should be marked "**BID ENCLOSED**" and state the **Bid Number, Bid Opening Date, and Time** on the envelope containing the sealed bid. Failure to complete all information on the bid envelope may necessitate the premature opening of the bid and may compromise confidentiality. See "Bid Submission" in Appendix B, General Specifications. Bids shall be delivered to:

State of New York  
Department of Corrections and Community Supervision  
Division of Support Operations/Contract Procurement Unit  
Attention: Marla Henriquez-Nepaulsingh  
550 Broadway  
Menands, NY 12204  
IFB #2018-06 – Urinalysis Analyzers

## GENERAL INFORMATION

- **Hand deliveries**

Bidders must allow extra time to comply with the security procedures which may be in effect when hand delivering bids or using deliveries by independent courier services. **Bidders assume all risks for timely, properly submitted deliveries.**

### **NON-COLLUSIVE BIDDING CERTIFICATION:**

**(Reference: State Finance Law Section 139-d and Appendix A, Clause 7)**

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief:

(1) The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor;

(2) Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and

(3) No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not submit a bid for the purpose of restricting competition.

In the event that the bidder is unable to certify as stated above, the bidder shall provide a signed statement which sets forth in detail the reasons why the bidder is unable to furnish the certificate as required in accordance with State Finance Law Section 139-d(1)(b).

### **PROCUREMENT LOBBYING ACT:**

**SUMMARY OF POLICY AND PROHIBITIONS ON PROCUREMENT LOBBYING**

Pursuant to State Finance Law §§139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between DOCCS – CPU and an Offerer/bidder during the procurement \*process. An Offerer/bidder is restricted from making contacts from the earliest notice of intent to solicit offers/bids through final award and approval of the Procurement Contract by DOCCS – CPU and if applicable, the Office of General Services, and/or the Office of the State Comptroller ("restricted period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law §139-j (3) (a). Designated staff, as of the date hereof, is identified on the first page of this solicitation. DOCCS – CPU employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the Offerer/bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the Offerer/bidder is debarred from obtaining governmental Procurement Contracts. Further information about these requirements can be found on the website: <http://ogs.ny.gov/Aboutogs/regulations/defaultAdvisoryCouncil.html>.

### **PROCUREMENT LOBBYING TERMINATION:**

DOCCS - CPU reserves the right to terminate this contract in the event it is found that the certification filed by the Offerer/bidder in accordance with New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, DOCCS – CPU may exercise its termination right by providing written notification to the Offerer/bidder in accordance with the written notification terms of this contract.



## PROCUREMENT LOBBYING CERTIFICATION

By signing, the offeror/bidder affirms that it understands and agrees to comply with the NYS Department of Corrections and Community Supervision (DOCCS) procedures relative to permissible contacts, as required by State Finance Law §139-j and §139-k.

Procurement Lobbying information can be accessed at:

<http://www.oqs.ny.gov/aboutoqs/regulations/advisoryCouncil/sf139-j.htm> and

<http://www.oqs.ny.gov/aboutoqs/regulations/advisoryCouncil/sf139-k.htm>

Offeror affirms that it understands and agrees to comply with the procedures of the Government Entity relative to permissible Contacts as required by State Finance Law §139-j (3) and §139-j (6) (b).

By: Carol Bowers Date: 5/17/18

Name: Carol Bowers Title: Sr. Finance Director

Contractor Name: Microgenics Corporation

Contractor Address: 46500 Kato Road , Fremont, CA 94538

### Prior Non-Responsibility Determinations – State Finance Law §139-k

1. Has any Government Entity made a finding of non-responsibility against this organization/company? No Yes
2. If yes, was the basis for the finding of non-responsibility due to a violation of SFL§139-j or due to the intentional provision of false or incomplete information to a Government Entity? No Yes
3. Has any Government Entity terminated or withheld a procurement contract with this organization/company due to the intentional provision of false or incomplete information? No Yes

*If yes to any of the above questions, provide complete details on a separate page and attach.*

### Offerer Certification:

I certify that all information provided to the Governmental Entity with respect to State Finance Law §139-k is complete, true and accurate.

By: Carol Bowers Date: 5/17/18

Name: Carol Bowers Title: Sr. Finance Director

### Procurement Lobbying Termination

DOCCS reserves the right to terminate this contract in the event it is found that the certification filed by the Offeror/bidder in accordance with New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, DOCCS may exercise its termination right by providing written notice to the Offeror/bidder in accordance with the written notification terms of the contract.

**RETURN THIS PAGE AS PART OF THE BID**



## GENERAL INFORMATION

### **TAX LAW § 5-A:**

TAX LAW § 5-A (Amended April 26, 2006):

Tax Law § 5-a, as amended on April 26, 2006, requires certain contractors who are awarded state contracts for commodities and/or services valued at more than **REDACTED** (over the full term of the contract, excluding renewals) to certify to the Department of Taxation and Finance (DTF) they are registered to collect New York State (NYS) and local sales and compensating use taxes. The law applies to contracts where the total amount of the contractor's sales delivered into NYS exceed **REDACTED** for the four quarterly periods immediately preceding the quarterly period when the certification is made; and with respect to any affiliates and subcontractors whose sales delivered into NYS also exceed **REDACTED** in the same manner as noted above for the contractor.

This law imposes upon certain contractors the obligation to certify whether or not the contractor, its affiliates, and its subcontractors are required to register to collect state sales and compensating use tax. The contractors must certify to DTF that each affiliate and subcontractor exceeding the sales threshold is registered with DTF to collect such State and local sales and compensating use taxes. The law prohibits the Comptroller, or other approving agency, from approving a contract to a vendor who is not registered in accordance with the law.

There are two (2) Contractor certification forms, with instructions, attached to this bid. **Form ST-220-TD is to be removed from this bid and submitted directly to DTF. Submission to DTF is a one-time occurrence. If you have already submitted this form to DTF for other bidding opportunities, you do not need to submit the form attached to this bid. If, however, any certification information changes, a new ST-220-TD must be filed with DTF. Form ST-220-CA must be completed and submitted with this bid. This form certifies to the procuring agency that the contractor has filed ST-220-TD with DTF in compliance with the law.**

Bidders should complete and submit the certification forms within two business days of request (if the forms are not submitted to DTF and/or returned with bid). Bidders shall take the necessary steps to provide properly certified forms within a timely manner to ensure compliance with the law, as failure to do so may render a bidder non-responsive and non-responsible.

Vendors may call DTF at 1-800-698-2909 for any and all questions relating to Tax Law § 5-a and relating to a company's registration status with DTF. For additional information and frequently asked questions, please refer to the DTF web site: <http://www.tax.ny.gov>.

### **TERMINATION FOR VIOLATION OF Revised Tax Law 5a:**

NYS DOCCS reserves the right to terminate this contract in the event it is found that the certification filed by the Contractor in accordance with § 5-a of the Tax Law is not timely filed during the term of the contract or the certification furnished was intentionally false or intentionally incomplete. Upon such finding, (facility name) may exercise its termination right by providing written notification to the Contractor.

### **DISPUTE RESOLUTION POLICY:**

It is the policy of the DOCCS – CPU and the Office of the State Comptroller to provide vendors with an opportunity to administratively resolve disputes, complaints or inquiries related to NYS bid solicitations or contract awards. DOCCS – CPU and the Office of the State Comptroller encourages vendors to seek resolution of disputes through consultation with DOCCS – CPU staff. All such matters will be accorded impartial and timely consideration. Interested parties may also file formal written disputes.

### **DEBRIEFING:**

Bidders will be accorded fair and equal treatment with respect to their opportunity for debriefing. Disclosure of the content of competing bids other than statistical tabulations of bids received in response to an IFB, is prohibited prior to contract award. Prior to final contract award, DOCCS-CPU shall, upon request, provide a debriefing which would be limited to review of that bidder's proposal or bid. Requests for a debriefing prior to final contract award by an unsuccessful bidder(s) must be addressed to DOCCS - CPU in writing. The debriefing prior to final contract award must be requested in writing within 15 calendar days of notification that the bidder's submission was unsuccessful.

After final contract award, DOCCS-CPU shall, upon request, provide a debriefing to any bidder that responded to the IFB, regarding the reason that the proposal or bid submitted by the unsuccessful bidder was not selected for a contract award. Requests for debriefing by an unsuccessful bidder(s) must be addressed to DOCCS-CPU in writing. The post-award debriefing should be required in writing by the bidder within 30 calendar days of contract approval by OSC.



## GENERAL INFORMATION

### **APPENDIX A:**

Appendix A, Standard Clauses For New York State Contracts, dated January 2014, attached hereto, is hereby expressly made a part of this Bid Document as fully as if set forth at length herein. **Please retain this document for future reference.**

### **APPENDIX B:**

Appendix B, General Specifications (Commodities and Non-Technology Services), dated August 2012, attached hereto, is hereby expressly made a part of this Bid Document as fully as if set forth at length herein and shall govern any situations not covered by this Bid Document or Appendix A. **Please retain this document for future reference.**

### **APPENDIX C:**

Appendix C, CONTRACTOR REQUIREMENTS FOR EEO AND MWBE, attached hereto expressly made a part of this Bid Document as fully as if set forth at length herein and shall govern any situations not covered by this Bid Document or Appendix A. **Please retain this document for future reference.**

### **CONFLICT OF TERMS AND CONDITIONS:**

Conflicts between documents shall be resolved in the following order of precedence:

- a. Appendix A
- b. This Invitation for Bids
- c. Appendix B
- d. Appendix C
- e. Bidder's Bid

### **CONTRACTOR REQUIREMENTS FOR EEO AND MWBE:**

**CONTRACTOR REQUIREMENTS AND PROCEDURES FOR PARTICIPATION BY NEW YORK STATE CERTIFIED MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES AND EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN**

New York State Law: Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations DOCCS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of DOCCS contracts.

#### **Business Participation Opportunities for MWBEs**

For purposes of this solicitation, DOCCS hereby establishes an overall goal of 0% for MWBE participation, 0% for New York State-certified Minority-owned Business Enterprise ("MBE") participation and 0% for New York State-certified Women-owned Business Enterprise ("WBE") participation (based on the current availability of MBEs and WBEs). A contractor ("Contractor") on any contract resulting from this procurement ("Contract") must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors and suppliers in the performance of the Contract. To that end, by submitting a response to this IFB, the bidder agrees that DOCCS may withhold payment pursuant to any Contract awarded as a result of this IFB pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how DOCCS will evaluate a Contractor's "good faith efforts," refer to 5 NYCRR § 142.8.

The bidder understands that only sums paid to MWBEs for the performance of a commercially useful function, as that term is defined in 5 NYCRR § 140.1, may be applied towards the achievement of the applicable MWBE participation goal.

The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be 25 percent of the total value of the contract.

In accordance with 5 NYCRR § 142.13, the bidder further acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in a Contract resulting from this solicitation, such finding constitutes a breach of contract and DOCCS may withhold payment as liquidated damages.

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Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

By submitting a bid or proposal, a bidder agrees to demonstrate its good faith efforts to achieve the applicable MWBE participation goals by submitting evidence thereof through the New York State Contract System ("NYSCS"), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that a bidder may arrange to provide such evidence via a non-electronic method by contacting the designated contact(s) for this procurement. Additionally, a bidder will be required to submit the following documents and information as evidence of compliance with the foregoing:

1. An MWBE Utilization Plan with their bid or proposal. Any modifications or changes to an accepted MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to DOCCS for review and approval.

DOCCS will review the submitted MWBE Utilization Plan and advise the bidder of DOCCS acceptance or issue a notice of deficiency within 30 days of receipt.

2. If a notice of deficiency is issued, the bidder will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to DOCCS, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by DOCCS to be inadequate, DOCCS shall notify the bidder and direct the bidder to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

DOCCS may disqualify a bidder as being non-responsive under the following circumstances:

- a) If a bidder fails to submit an MWBE Utilization Plan;
- b) If a bidder fails to submit a written remedy to a notice of deficiency;
- c) If a bidder fails to submit a request for waiver; or
- d) If DOCCS determines that the bidder has failed to document good faith efforts.

The successful bidder will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to DOCCS, but must be made no later than prior to the submission of a request for final payment on the Contract.

The successful bidder will be required to submit a quarterly M/WBE Contractor Compliance & Subcontractor Payment Report to DOCCS, by the 10<sup>th</sup> day following each end of quarter as applicable over the term of the Contract documenting the progress made toward achievement of the MWBE goals of the Contract.

### **Equal Employment Opportunity Requirements**

By submission of a bid or proposal in response to this solicitation, the bidder agrees with all of the terms and conditions of Appendix A – Standard Clauses for All New York State Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women. The bidder is required to ensure that it and any subcontractors awarded a subcontract for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the bidder, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

The bidder will be required to submit a Minority and Women-owned Business Enterprise and Equal Employment Opportunity Policy Statement to DOCCS with its bid or proposal.



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If awarded a Contract, bidder shall submit a Workforce Utilization Report and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by DOCCS on a quarterly basis as required during the term of the Contract.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

**Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.**

### **USE OF SERVICE-DISABLED VETERAN-OWNED BUSINESS ENTERPRISES IN CONTRACT PERFORMANCE**

Article 17-B of the Executive Law enacted in 2014 acknowledges that Service-Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economies of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at [http://ogs.ny.gov/Core/docs/CertifiedNYS\\_SDVOB.pdf](http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf).

For purposes of this procurement, the DOCCS hereby establishes an overall goal of 0% for SDVOB participation based on the current availability of qualified SDVOBs. Bidders/proposers need to be aware that all authorized users of this contract will be strongly encouraged to the maximum extent practical and consistent with legal requirements of the State Finance Law and the Executive Law to use responsible and responsive SDVOBs in purchasing and utilizing commodities, services and technology that are of equal quality and functionality to those that may be obtained from non-SDVOBs. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses consistent with current State law.

Utilizing SDVOBs in State contracts will help create more private sector jobs, rebuild New York State's infrastructure, and maximize economic activity to the mutual benefit of the contractor and its SDVOB partners. SDVOBs will promote the contractor's optimal performance under the contract, thereby fully benefiting the public-sector programs that are supported by associated public procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of SDVOBs by its contractors. The State, therefore, expects bidders/proposers to provide maximum assistance to SDVOBs in their contract performance. The potential participation by all kinds of SDVOBs will deliver great value to the State and its taxpayers.

### **FREEDOM OF INFORMATION LAW / TRADE SECRETS:**

During the evaluation process, the content of each bid will be held in confidence and details of any bid will not be revealed (except as may be required under the Freedom of Information Law or other State law). The Freedom of Information Law provides for an exemption from disclosure for trade secrets or information the disclosure of which would cause injury to the competitive position of commercial enterprises. This exemption would be effective both during and after the evaluation process.

Should you feel your firm's bid contains any such trade secrets or other confidential or proprietary information, you must submit a request to exempt such information from disclosure. Such request must be in writing, must state the reasons why the information should be exempt from disclosure and must be provided at the time of submission of the subject information.

Requests for exemption of the entire contents of a bid from disclosure have generally not been found to be meritorious and are discouraged. Kindly limit any requests for exemption of information from disclosure to bona fide trade secrets or specific information, the disclosure of which would cause a substantial injury to the competitive position of your firm.



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### **NEW YORK STATE VENDOR FILE REGISTRATION:**

Prior to being awarded a contract pursuant to this Solicitation, the Bidder(s) and any designated authorized resellers who accept payment directly from the State, must be registered in the New York State Vendor File (Vendor File) administered by the Office of the State Comptroller (OSC). This is a central registry for all vendors who do business with New York State Agencies and the registration must be initiated by a State Agency. Following the initial registration, unique New York State ten-digit vendor identification numbers will be assigned to your company and to each of your authorized resellers (if any) for usage on all future transactions with New York State. Additionally, the Vendor File enables vendors to use the Vendor Self-Service application to manage all vendor information in one central location for all transactions related to the State of New York. If Bidder is already registered in the New York State Vendor File, list the ten-digit vendor ID number on the Bid Proposal Form (Attachment 1). Authorized resellers already registered should list the ten-digit vendor ID number along with the authorized reseller information.

If the Bidder is not currently registered in the Vendor File and is recommended for award, DOCCS shall request completion of OSC Substitute W-9 Form. A fillable form with instructions can be found at the link below. In addition, if authorized resellers are to be used, an OSC Substitute W-9 form should be completed by each of the designated authorized resellers and submitted to the Office of General Services Business Services Center. The Office of General Services Business Services Center will initiate the vendor registration process for all Bidders recommended for Contract Award and their authorized resellers. Once the process is initiated, registrants will receive an email from OSC that includes the unique ten-digit vendor identification number assigned to the company and instructions on how to enroll in the online Vendor Self-Service application. For more information on the vendor file please visit the following website: [http://www.osc.state.ny.us/vendor\\_management](http://www.osc.state.ny.us/vendor_management)

Form to be completed: [http://www.osc.state.ny.us/vendors/forms/ac3237\\_fe.pdf](http://www.osc.state.ny.us/vendors/forms/ac3237_fe.pdf)

### **NYS VENDOR RESPONSIBILITY QUESTIONNAIRE:**

DOCCS conducts a review of prospective contractors ("Bidders") to provide reasonable assurances that the Bidder is responsive and responsible. A Questionnaire is used for non-construction contracts and is designed to provide information to assess a Bidder's responsibility to conduct business in New York based upon financial and organizational capacity, legal authority, business integrity, and past performance history. By submitting a bid, Bidder agrees to fully and accurately complete the "Questionnaire." The Bidder acknowledges that the State's execution of the Contract will be contingent upon the State's determination that the Bidder is responsible, and that the State will be relying upon the Bidder's responses to the Questionnaire when making its responsibility determination.

DOCCS recommends each Bidder file the required Questionnaire online via the New York State VendRep System. To enroll in and use the VendRep System, please refer to the VendRep System Instructions and User Support for Vendors available at the Office of the State Comptroller's (OSC) website, [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm) or to enroll, go directly to the VendRep System online at <https://portal.osc.state.ny.us>

OSC provides direct support for the VendRep System through user assistance, documents, online help, and a help desk. The OSC Help Desk contact information is located at <http://www.osc.state.ny.us/portal/contactbuss.htm>. Bidders opting to complete the paper questionnaire can access this form and associated definitions via the OSC website at: [http://www.osc.state.ny.us/vendrep/forms\\_vendor.htm](http://www.osc.state.ny.us/vendrep/forms_vendor.htm)

The Contractor must remain a responsible vendor throughout the duration of the contract and, if at any time the Contractor is found to be not responsible or there is a question as to the vendor's responsibility, any activities pursuant to the contract may be suspended. Finally, the contract may be terminated following a finding of non-responsibility.

To assist the State in determining the responsibility of the Bidder, the Bidder should complete and certify (or recertify) the Questionnaire no more than six (6) months prior to the bid due date.

A Bidder's Questionnaire cannot be viewed by DOCCS until the Bidder has certified the Questionnaire. It is recommended that all Bidders become familiar with all of the requirements of the Questionnaire in advance of the bid opening to provide sufficient time to complete the Questionnaire.



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The Bidder agrees that if it is found by the State that the Bidder's responses to the Questionnaire were intentionally false or intentionally incomplete, on such finding, DOCCS may terminate the Contract. In no case shall such termination of the Contract by the State be deemed a breach thereof, nor shall the State be liable for any damages for lost profits or otherwise, which may be sustained by the Contractor as a result of such termination.

The CONTRACTOR shall at all times during the Contract term remain responsible. The CONTRACTOR agrees, if requested by the Commissioner of DOCCS or his designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.

The DOCCS Commissioner or his designee, in his or her sole discretion, reserves the right to suspend any or all activities under this Contract, at any time, when he or she discovers information that calls into question the responsibility of the Contractor. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the DOCCS Commissioner or his designee issues a written notice authorizing a resumption of performance under the Contract.

### **CONFLICT OF INTEREST:**

Bidder must disclose any existing or contemplated relationship with any other person or entity, including relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the Respondent or former officers and employees of the Agencies and their Affiliates, in connection with your rendering services enumerated in this IFB. If a conflict does or might exist, please describe how your Staffing Firm would eliminate or prevent it. Indicate what procedures will be followed to detect, notify the Agencies of, and resolve any such conflicts.

Bidder must disclose whether it, or any of its members, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Additionally, a bidder will be required to submit the *Vendor Assurance of No Conflict of Interest or Detrimental Effect* form located within this IFB as evidence of compliance with the foregoing.

### **PUBLIC OFFICERS LAW:**

Contractors, consultants, vendors, and subcontractors may hire former State Agency or Authority employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of the State Agency or Authority may neither appear nor practice before the State Agency or Authority, nor receive compensation for services rendered on a matter before the State Agency or Authority, for a period of two years following their separation from State Agency or Authority service. In addition, former State Agency or Authority employees are subject to a "lifetime bar" from appearing before the State Agency or Authority or receiving compensation for services regarding any transaction in which they personally participated or which was under their active consideration during their tenure with the State Agency or Authority.

### **ETHICS REQUIREMENTS:**

The Contractor and its Subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). The Contractor certifies that all of its employees and those of its Subcontractors who are former employees of the State and who are assigned to perform services under this Contract shall be assigned in accordance with all Ethics Requirements. During the Term, no person who is employed by the Contractor or its Subcontractors and who is disqualified from providing services under this Contract pursuant to any Ethics Requirements may share in any net revenues of the Contractor or its Subcontractors derived from this Contract. The Contractor shall identify and provide the State with notice of those employees of the Contractor and its Subcontractors who are former employees of the State that will be assigned to perform services under this Contract, and make sure that such employees comply with all



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applicable laws and prohibitions. The State may request that the Contractor provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. The State shall have the right to withdraw or withhold approval of any Subcontractor if utilizing such Subcontractor for any work performed hereunder would be in conflict with any of the Ethics Requirements. The State shall have the right to terminate this Contract at any time if any work performed hereunder is in conflict with any of the Ethics Requirements.

### **SUBCONTRACTING:**

The Contractor agrees not to subcontract any of its services, unless as indicated in its bid, without the prior written approval of the DOCCS. Approval shall not be unreasonably withheld upon receipt of written request to subcontract.

The Contractor may arrange for a portion/s of its responsibilities to be subcontracted to qualified, responsible subcontractors, subject to approval of the DOCCS. If the Contractor determines to subcontract a portion of the services, the subcontractors must be clearly identified and the nature and extent of its involvement in and/or proposed performance must be fully explained by the Contractor to the DOCCS. As part of this explanation, the subcontractor must submit to the DOCCS a completed *Vendor Assurance of No Conflict of Interest or Detrimental Effect* form, as required by the Contractor prior to execution of a contract.

The Contractor retains ultimate responsibility for all services performed under a contract.

All subcontracts shall be in writing and shall contain provisions, which are functionally identical to, and consistent with, the provisions of this IFB. Unless waived in writing by DOCCS, all subcontracts between the Contractor and subcontractors shall expressly name DOCCS as the sole intended third party beneficiary of such subcontract. DOCCS reserves the right to review and approve or reject any subcontract, as well as any amendment to said subcontract(s), and this right shall not make DOCCS a party to any subcontract or create any right, claim, or interest in the subcontractor or proposed subcontractor against DOCCS.

DOCCS reserves the right, at any time during the contract term to verify that the written subcontract between the Contractor and subcontractors is in compliance with all of the provisions of this Section and any subcontract provisions contained in this IFB.

The Contractor shall give DOCCS immediate notice in writing of the initiation of any legal action or suit which relates in any way to a subcontract with a subcontractor or which may affect the performance of the Contractor's duties under a contract. Any subcontract shall not relieve the Contractor in any way of any responsibility, duty and/or obligation of a contract.

If at any time during performance under the contract the total compensation to a subcontractor exceeds or is expected to exceed **REDACTED** that subcontractor shall be required to submit and certify a Vendor Responsibility Questionnaire.

### **PRICE:**

Bidders must submit pricing using the Bid Cost Sheet (see page 27). Bidders are required to submit pricing for all line items to be considered for contract award. Any alteration to the Bid Cost Sheet may result in the disqualification of bid.

DOCCS conducts approximately 340,000 scans (84,165 x 4 + 3,340) for illicit substances using 5 reagent tests at 52 locations annually. A normal scan consists of THC (50ng/ml cutoff), Opiate (300 ng/ml cutoff), Buprenorphine (5 ng/ml cutoff), and Synthetic Cannabinoids XLR-11/UR-144 (10ng/ml cutoff). Additionally, work release facilities conduct scans for the use of ethyl alcohol (3,340), which is included in the above number of tests and scans. These reagents will be worth 88% of the total weighted bid price.

There are 27 Other Reagents (totaling 14,850 tests) listed on the bid cost sheet that DOCCS may require testing during the contract period. Please note, DOCCS is not currently testing for all of the substances listed. However, based on possible changes in the drug world, should the need arise, DOCCS asks bidders



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for pricing on other known reagents for future testing ability." These other reagents will only be worth 2% of the total weighted bid price-

Bidder's bid price shall be inclusive of the following: licenses, insurance, administrative, profit, all labor and equipment costs, reporting or other requirements, all overhead costs, and other ancillary costs. Details of service not explicitly stated in these specifications, but necessarily attendant thereto are deemed to be understood by the Bidder and included herein.

For evaluation purposes, the total cost of training will be worth 10% of the total weighted bid price.

#### **METHOD OF AWARD:**

Award shall be made by Grand Total Weighted Bid Price to the **lowest responsive and responsible bidder** as calculated on the Bid Cost Sheet.

**Upon award, Contractor will have until 11/30/18 to install equipment and complete training.**

#### **MINOR DEVIATIONS (s)/MINOR TECHNICALITY:**

DOCCS reserves the right to have the flexibility to consider bids with minor deviations or technicalities and to waive minor deviations or technicalities that may be consistent with the intent and scope of the solicitation. The flexibility may permit a reasonable outcome in cases where the results of a fair, competitive process are clear but the award of a contract is threatened due to a minor technicality or a minor deviation.

#### **"OR EQUAL":**

The State reserves the right to determine if a product/service is 'equal' to bid specifications. Bids with minor deviations or technicalities may be waived if consistent with the intent and scope of the solicitation. The flexibility may permit a reasonable outcome in cases where the results of a fair, competitive process are clear but the award of a contract is threatened due to a minor technicality or a minor deviation.

#### **CONTRACT PAYMENTS:**

Contractor shall provide complete and accurate billing invoices to the Agency in order to receive payment. Billing invoices submitted to the Agency must contain all information and supporting documentation required by the Contract, the Agency and the State Comptroller. Payment for invoices submitted by the Contractor shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The Contractor shall comply with the State Comptroller's procedures to authorize electric payments. Authorization forms are available at the State Comptroller's website at [www.osc.state.ny.us/epay/index.htm](http://www.osc.state.ny.us/epay/index.htm), by email at [epunit@osc.state.ny.us](mailto:epunit@osc.state.ny.us), or by telephone at (518) 474-4032. Contractor acknowledges that it will not receive payment on any invoices submitted under this Contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

#### **BILLING:**

Invoices should be sent to the ordering Correctional Facility, address, attention: Accounts Payable. Payment will be based on an invoice used in the supplier's normal course of business. Invoices must contain the Contract No., description of materials, quantity, unit and price per unit as well as the Federal Identification Number and New York State Vendor ID.

If unable to email invoices, mail them to the Business Services Center address at:

Dept. of Corrections and Community Supervision  
Unit ID: 3250226  
c/o OGS BSC Accounts Payable  
Building 5, 5th floor  
1220 Washington Ave  
Albany, NY 12226-1900

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Invoices should be sent to the Office of General Services' (OGS) Business Services Center (BSC) within ten (10) business days after the first day of the following month.

### **INTEREST:**

Interest on late payment is governed by State Finance Law, Section 179-M.

### **CONTRACT PERIOD:**

The contract awarded as a result of this IFB shall commence on September 1, 2018, or upon approval of the Office of the State Comptroller (OSC), whichever date is later, and will continue for five (5) years from the commencement date.

### **REJECTION:**

The State reserves the right to reject an obviously unbalanced bid or to make "NO AWARD" on individual listings or sub-items if individual bid prices are deemed to be unbalanced or excessive or if an error in the solicitation becomes evident. In such case, ranking and evaluation of bids may be made on remaining items. Award would be made on the remaining items. The determination of an unbalanced bid shall be at the sole discretion of the State. Options contained in this paragraph shall also be at the State's sole discretion.

### **CANCELLATION FOR CAUSE AND CONVENIENCE:**

This agreement may be terminated by mutual agreement upon thirty (30) days written notice. Also, DOCCS – CPU may terminate the agreement immediately for cause, upon written notice, if the contractor fails to comply with the terms and conditions of this agreement and/or with any laws, rules, regulations, policies or procedures of the State of New York affecting this agreement.

The State of New York retains the right to cancel this contract, in whole or in part without reason provided that the Contractor is given at least thirty (30) day notice of its intent to cancel. This provision should not be understood as waiving the State's right to terminate the contract for cause or stop work immediately for unsatisfactory work, but is supplementary to that provision. Any such cancellation shall have no effect on existing Agency agreements, which are subject to the same 30-day discretionary cancellation or cancellation for cause by the respective user Agencies.

### **CONTRACTOR INSURANCE REQUIREMENTS:**

Prior to the commencement of the work to be performed by the Contractor hereunder, the Contractor shall file with The People of the State of New York, DOCCS, Certificates of Insurance (hereinafter referred to as "Certificates"), evidencing compliance with all requirements. Such Certificates shall be of a form and substance acceptable to DOCCS.

Certificate acceptance and/or approval by DOCCS does not and shall not be construed to relieve Contractor of any obligations, responsibilities or liabilities under the Contract.

Contractors shall be required to procure, at their sole cost and expense, and shall maintain in force at all times during the term of any Contract resulting from this Solicitation, policies of insurance as required by this Section. All insurance required by this Section shall be written by companies that have an A.M. Best Company rating of "A-," Class "VII" or better. In addition, companies writing insurance intended to comply with the requirements of this Section should be licensed or authorized by the New York State Department of Financial Services to issue insurance in the State of New York. DOCCS may, in its sole discretion, accept policies of insurance written by a non-authorized carrier or carriers when certificates and/or other policy documents are accompanied by a completed Excess Lines Association of New York (ELANY) affidavit or other documents demonstrating the company's strong financial rating. If, during the term of a policy, the carrier's A.M. Best rating falls below "A-," Class "VII," the insurance must be replaced, on or before the renewal date of the policy, with insurance that meets the requirements above.

Bidders and Contractors shall deliver to DOCCS evidence of the insurance required by this Solicitation and any Contract resulting from this Solicitation in a form satisfactory to DOCCS. Policies must be written in accordance with the requirements of the paragraphs below, as applicable. While acceptance of insurance documentation shall not be unreasonably withheld, conditioned or delayed, acceptance and/or approval by DOCCS does not, and shall not be construed to, relieve Bidders or Contractors of any obligations, responsibilities or liabilities under this Solicitation or any Contract resulting from this Solicitation.



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The Contractor shall not take any action, or omit to take any action that would suspend or invalidate any of the required coverages during the term of the Contract.

A. **General Conditions Applicable to Insurance.** All policies of insurance required by this Solicitation or any Contract resulting from this Solicitation shall comply with the following requirements:

1. **Coverage Types and Policy Limits.** The types of coverage and policy limits required from Bidders and Contractors are specified in Paragraph B Insurance Requirements below.
2. **Policy Forms.** Except as otherwise specifically provided herein, or agreed to in the Contract resulting from this Solicitation, all policies of insurance required by this Section shall be written on an occurrence basis.

### **Certificates of Insurance/Notices**

Bidders and Contractors shall provide DOCCS with a Certificate or Certificates of Insurance, in a form satisfactory to DOCCS as detailed below, and pursuant to the timelines set forth in Section B below. Certificates shall reference the Solicitation or award number and shall name The New York State Department of Corrections and Community Supervision, Harriman Campus, Division of Support Operations – Contract Procurement Unit, 550 Broadway, Menands, NY 12204, as the certificate holder.

### **Certificates of Insurance shall**

- Be in the form acceptable to DOCCS and in accordance with the New York State Insurance Law;
- Disclose any deductible, self-insured retention, aggregate limit or exclusion to the policy that materially changes the coverage required by this Solicitation or any Contract resulting from this Solicitation;
- Refer to this Solicitation and any Contract resulting from this Solicitation by award number;
- Be signed by an authorized representative of the referenced insurance carriers; and
- Contain the following language in the Description of Operations / Locations / Vehicles section: Additional insured protection afforded is on a primary and non-contributory basis. A waiver of subrogation is granted in favor of the additional insureds.

Only original documents (certificates of insurance and any endorsements and other attachments) or electronic versions of the same that can be directly traced back to the insurer, agent or broker via e-mail distribution or similar means will be accepted.

DOCCS generally requires Contractors to submit only certificates of insurance and additional insured endorsements, although DOCCS reserves the right to request other proof of insurance. Contractors should refrain from submitting entire insurance policies, unless specifically requested by DOCCS. If an entire insurance policy is submitted but not requested, DOCCS shall not be obligated to review and shall not be chargeable with knowledge of its contents. In addition, submission of an entire insurance policy not requested by DOCCS does not constitute proof of compliance with the insurance requirements and does not discharge Contractors from submitting the requested insurance documentation.

3. **Primary Coverage.** All liability insurance policies shall provide that the required coverage shall be primary and non-contributory to other insurance available to the People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. Any other insurance maintained by the People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees shall be excess of all applicable Contractor's insurance, including any umbrella and/or excess policies, and shall not contribute with the Bidder/Contractor's insurance.
4. **Breach for Lack of Proof of Coverage.** The failure to comply with the requirements of this Section at any time during the term of the Contract shall be considered a breach of the terms of the Contract and shall allow the People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees to avail themselves of all remedies available under the Contract or at law or in equity.



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5. **Self-Insured Retention/Deductibles.** Certificates of Insurance must indicate the applicable deductibles/self-insured retentions for each listed policy. Deductibles or self-insured retentions above **REDACTED** are subject to approval from DOCCS. Such approval shall not be unreasonably withheld, conditioned or delayed. Bidders and Contractors shall be solely responsible for all claim expenses and loss payments within the deductibles or self-insured retentions. If the Bidder/Contractor is providing the required insurance through self-insurance, evidence of the financial capacity to support the self-insurance program along with a description of that program, including, but not limited to, information regarding the use of a third-party administrator shall be provided upon request. If the Contractor is unable to meet their obligation under any deductible, self-insured retention or self-insurance, neither the People of the State of New York nor DOCCS will be obligated to drop down to cover those amounts.
6. **Subcontractors.** Prior to the commencement of any work by a Subcontractor, the Contractor shall require such Subcontractor to procure policies of insurance as required by this Section and maintain the same in force during the term of any work performed by that Subcontractor.
7. **Waiver of Subrogation.** For all liability policies and the workers' compensation insurance required below, the Bidder/Contractor shall cause to be included in its policies insuring against loss, damage or destruction by fire or other insured casualty a waiver of the insurer's right of subrogation against The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees, or, if such waiver is unobtainable (i) an express agreement that such policy shall not be invalidated if the Contractor waives or has waived before the casualty, the right of recovery against The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees or (ii) any other form of permission for the release of The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. A Waiver of Subrogation Endorsement shall be provided upon request. A blanket Waiver of Subrogation Endorsement evidencing such coverage is also acceptable.
8. **Additional Insured.** The Contractor shall cause to be included in each of the liability policies required below, ISO form CG 20 10 11 85 (or a form or forms that provide equivalent coverage, such as the combination of CG 20 10 04 13 and CG 20 37 04 13) and form CA 20 48 10 13 (or a form or forms that provide equivalent coverage), naming as additional insureds: The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. An Additional Insured Endorsement evidencing such coverage shall be provided to DOCCS pursuant to the timelines set forth in Section B below. A blanket Additional Insured Endorsement evidencing such coverage is also acceptable. For Contractors who are self-insured, the Contractor shall be obligated to defend and indemnify the above-named additional insureds with respect to Commercial General Liability and Business Automobile Liability, in the same manner that the Contractor would have been required to pursuant to this Section had the Contractor obtained such insurance policies.
9. **Excess/Umbrella Liability Policies.** Required insurance coverage limits may be provided through a combination of primary and excess/umbrella liability policies; however, a minimum of one million dollars **REDACTED** must be primary coverage for general liability and auto liability. All Contractor's applicable insurance policies, including umbrella and excess insurance, will be primary to any insurance, self-insurance, deductible or self-insured retention of The People of the State of New York, the New York State Department of Corrections and Community Supervision, or any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. If coverage limits are provided through excess/umbrella liability policies, then a Schedule of underlying insurance listing policy information for all underlying insurance policies (insurer, policy number, policy term, coverage and limits of insurance), including proof that the excess/umbrella insurance follows form must be provided upon request.
10. **Notice of Cancellation or Non-Renewal.** Policies shall be written so as to include the requirements for notice of cancellation or non-renewal in accordance with the New York State Insurance Law. Within five (5) business days of receipt of any notice of cancellation or non-renewal of insurance, the Contractor shall provide DOCCS with a copy of any such notice received from an insurer together with proof of replacement coverage that complies with the insurance requirements of this Solicitation and any Contract resulting from this Solicitation.



## GENERAL INFORMATION

11. **Policy Renewal/Expiration** Upon policy renewal/expiration, evidence of renewal or replacement of coverage that complies with the insurance requirements set forth in this Solicitation and any Contract resulting from this Solicitation shall be delivered to DOCCS. If, at any time during the term of any Contract resulting from this Solicitation, the coverage provisions and limits of the policies required herein do not meet the provisions and limits set forth in this Solicitation or any Contract resulting from this Solicitation, or proof thereof is not provided to DOCCS, the Contractor shall immediately cease work. The Contractor shall not resume work until authorized to do so by DOCCS.
12. **Deadlines for Providing Insurance Documents after Renewal or Upon Request.** As set forth herein, certain insurance documents must be provided to the DOCCS Procurement Services contact identified in the Contract Award Notice after renewal or upon request. This requirement means that the Contractor shall provide the applicable insurance document to DOCCS as soon as possible but in no event later than the following time periods:
- For certificates of insurance: 5 business days
  - For information on self-insurance or self-retention programs: 15 calendar days
  - For other requested documentation evidencing coverage: 15 calendar days
  - For additional insured and waiver of subrogation endorsements: 30 calendar days

Notwithstanding the foregoing, if the Contractor shall have promptly requested the insurance documents from its broker or insurer and shall have thereafter diligently taken all steps necessary to obtain such documents from its insurer and submit them to DOCCS, DOCCS shall extend the time period for a reasonable period under the circumstances, but in no event shall the extension exceed 30 calendar days.

### **B. Insurance Requirements**

Bidders and Contractors shall obtain and maintain in full force and effect, throughout the term of any Contract resulting from this Solicitation, at their own expense, the following insurance with limits not less than those described below and as required by the terms of any Contract resulting from this Solicitation, or as required by law, whichever is greater:

| Insurance Type                            |  | Proof of Coverage is Due                  |
|---|--|---|
| Commercial General Liability              | [Not less than REDACTED each occurrence] | Upon notice from DOCCS of tentative award |
| General Aggregate                         | REDACTED                                 |   |
| Products – Completed Operations Aggregate | REDACTED                                 |   |
| Personal and Advertising Injury           | REDACTED                                 |   |
| Medical Expenses Limit                    | REDACTED                                 |   |
| Business Automobile Liability Insurance   | [Not less than REDACTED each occurrence] |   |
| Workers' Compensation                     |  |   |
| Disability Benefits                       |  |   |

1. **Commercial General Liability Insurance:** Such liability shall be written on the current edition of ISO occurrence form CG 00 01, or a substitute form providing equivalent coverage and shall cover liability arising from premises operations, independent contractors, products-completed operations, broad form property damage, personal & advertising injury, cross liability coverage, liability assumed in a contract (including the tort liability of another assumed in a contract) [and explosion, collapse & underground coverage].

Policy shall include bodily injury, property damage and broad form contractual liability coverage.

- General Aggregate
- Products – Completed Operations Aggregate
- Personal and Advertising Injury
- Each Occurrence



## GENERAL INFORMATION

Coverage shall include, but not be limited to, the following:

- Premises liability;
  - Independent contractors;
  - Blanket contractual liability, including tort liability of another assumed in a contract;
  - Defense and/or indemnification obligations, including obligations assumed under the Contract;
  - Cross liability for additional insureds;
  - Products/completed operations for a term of no less than three [1-3] years, commencing upon acceptance of the work, as required by the Contract;
  - [Explosion, collapse and underground hazards; and
  - Contractor means and methods].
2. **Business Automobile Liability Insurance:** Such insurance shall cover liability arising out of any automobile used in connection with performance under the Contract, including owned, leased, hired and non-owned automobiles bearing or, under the circumstances under which they are being used, required by the Motor Vehicles Laws of the State of New York to bear, license plates.

In the event that the Contractor does not own, lease or hire any automobiles used in connection with performance under the Contract, the Contractor does not need to obtain Business Automobile Liability Insurance, but must attest to the fact that the Contractor does not own, lease or hire any automobiles used in connection with performance under the Contract on a form provided by DOCCS. If, however, during the term of the Contract, the Contractor acquires, leases or hires any automobiles that will be used in connection with performance under the Contract, the Contractor must obtain Business Automobile Liability Insurance that meets all of the requirements of this section and provide proof of such coverage to DOCCS in accordance with the insurance requirements of any Contract resulting from this Solicitation.

In the event that the Contractor does not own or lease any automobiles used in connection with performance under the Contract, but the Contractor does subcontract, hire and/or utilize non-owned automobiles in connection with performance under the Contract, the Contractor, subcontractor or owner of the automobile(s) must: (i) obtain Business Automobile Liability Insurance as required by this Solicitation or any Contract resulting from this Solicitation, except that such insurance may be limited to liability arising out of hired and/or non-owned automobiles, as applicable; and (ii) attest to the fact that the Contractor does not own or lease any automobiles used in connection with performance under the Contract, on a form provided by DOCCS. If, however, during the term of the Contract, the Contractor acquires or leases any automobiles that will be used in connection with performance under the Contract, the Contractor must obtain Business Automobile Liability Insurance that meets all of the requirements of this Section and provide proof of such coverage to DOCCS in accordance with the insurance requirements of any Contract resulting from this Solicitation.

### 3. **Workers' Compensation Insurance and Disability Benefits Requirements**

Sections 57 and 220 of the New York State Workers' Compensation Law require the heads of all municipal and state entities to ensure that businesses applying for contracts have appropriate workers' compensation and disability benefits insurance coverage. These requirements apply to both original contracts and renewals. **Failure to provide proper proof of such coverage or a legal exemption will result in a rejection of a Bid or any contract renewal. A Bidder will not be awarded a Contract unless proof of workers' compensation and disability insurance is provided to DOCCS.** Proof of workers' compensation and disability benefits coverage, or proof of exemption must be submitted to DOCCS at the time of Bid submission, policy renewal, contract renewal, and upon request. Proof of compliance must be submitted on one of the following forms designated by the New York State Workers' Compensation Board. **An ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.**

Proof of Compliance with Workers' Compensation Coverage Requirements:

- Form CE-200, *Certificate of Attestation for New York Entities With No Employees and Certain Out of State Entities, That New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required*, which is available on the Workers' Compensation Board's website ([www.wcb.ny.gov](http://www.wcb.ny.gov));

## GENERAL INFORMATION

- Form C-105.2 (9/07), *Certificate of Workers' Compensation Insurance*, sent to DOCCS by the Contractor's insurance carrier upon request, or if coverage is provided by the New York State Insurance Fund, they will provide Form U-26.3 to DOCCS upon request from the Contractor; or
- Form SI-12, *Certificate of Workers' Compensation Self-Insurance*, available from the New York State Workers' Compensation Board's Self-Insurance Office, or
- Form GSI-105.2, *Certificate of Participation in Workers' Compensation Group Self-Insurance*, available from the Contractor's Group Self-Insurance Administrator.

### Proof of Compliance with Disability Benefits Coverage Requirements:

- Form CE-200, *Certificate of Attestation for New York Entities With No Employees and Certain Out of State Entities, That New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required*, which is available on the Workers' Compensation Board's website ([www.wcb.ny.gov](http://www.wcb.ny.gov));
- Form DB-120.1, *Certificate of Disability Benefits Insurance*, sent to DOCCS by the Contractor's insurance carrier upon request; or
- Form DB-155, *Certificate of Disability Benefits Self-Insurance*, available from the New York State Workers' Compensation Board's Self-Insurance Office.

An instruction manual clarifying the New York State Workers' Compensation Law requirements is available for download at the New York State Workers' Compensation Board's website, <http://www.wcb.ny.gov>. Once on the site, click on the Employers/Businesses tab and then click on Employers' Handbook.

## **INDEMNIFICATION:**

The Contractor shall assume all risks of liability for its performance, or that of any of its officers, employees, subcontractors or agents, of any contract resulting from this solicitation and shall be solely responsible and liable for all liabilities, losses, damages, costs or expenses, including attorney's fees, arising from any claim, action or proceeding relating to or in any way connected with the performance of this Agreement and covenants and agrees to defend, indemnify and hold harmless the State of New York, its agents, officers and employees, from any and all claims, suits, causes of action and losses of whatever kind and nature, arising out of or in connection with its performance of any contract resulting from this solicitation, including negligence, active or passive or improper conduct of the Contractor, its officers, agents, subcontractors or employees, or the failure by the Contractor, its officers, agents, subcontractors or employees to perform any obligations or commitments to the State or third parties arising out of or resulting from any contract resulting from this solicitation. Such indemnity shall not be limited to the insurance coverage herein prescribed.

## **REFERENCES:**

As per the "Vendor Responsibility Disclosure" clause, bidders may be required to provide references of the bidder's largest customers. References shall be commercial or governmental accounts, and should demonstrate the ability of the vendor to perform jobs similar in scope to the size, nature and complexity of the outlined bid. The references shall include the:

- Name, address, contact person, telephone number, fax number, and number of years bidder has serviced the referenced account;
- Volume of business performed within the past three years for each referenced account.

## **FINANCIAL STABILITY:**

As per the "Vendor Responsibility Disclosure" clause, bidder may be required to document its ability to service a contract with dollar sales volume similar to scope of this bid through submission of financial statements documenting past sales history. The bidder must be financially stable and able to substantiate the financial statements of its company. In addition to sales history, current financial statements may be requested and must be provided within five business days. The state reserves the right to request additional documentation from the bidder and to request reports on financial stability from independent financial rating services. The state reserves the right to reject any bidder who does not demonstrate financial stability sufficient for the scope of this bid.



## GENERAL INFORMATION

### **GENERAL REQUIREMENTS:**

The Bidder agrees to

1. Adhere to all State and Federal laws and regulations in connection with the contract; and,
2. Notify DOCCS of any changes in the legal status or principal ownership of the firm, forty-five (45) days in advance of said change.

The Bidder agrees that

3. In any contract resulting from this IFB, it shall be completely responsible for its work, including any damages or breakdowns caused by its failure to take appropriate action; and,
4. Any contract resulting from this IFB may not be assigned, transferred, conveyed or the work subcontracted without the prior written consent of the Commissioner of DOCCS.
5. For reasons of safety and public policy, in any contract resulting from this IFB, the use of illegal drugs and/or alcoholic beverages by the Contractor or its personnel shall not be permitted while performing any phase of the work herein specified.
6. For purposes of any contract resulting from this IFB, the State will not be liable for any expense incurred by the Contractor for any parking fees or as a consequence of any traffic infraction or parking violations attributable to employees of the Contractor.
7. The Commissioner's interpretation of specifications shall be final and binding upon the Contractor.
8. The Commissioner of DOCCS will make no allowance or concession to the Bidder for any alleged misunderstanding because of quantity, quality, character, location or other conditions.
9. Should it appear that there is a real or apparent discrepancy between different sections of specifications concerning the nature, quality or extent of work to be furnished, it shall be assumed that the Bidder has based its bid on the more expensive option. Final decision will rest with the Commissioner of DOCCS.
10. Inspection – For purposes of any contract resulting from this IFB, the quality of service is subject to inspection and may be made at any reasonable time by the State of New York. Should it be found that quality of services being performed is not satisfactory and that the requirements of the specifications are not being met, the Commissioner DOCCS may terminate the contract and employ another contractor to fulfill the requirements of the contract. The existing Contractor shall be liable to the State of New York for costs incurred on account thereof.
11. Stop Work Order - The Commissioner of DOCCS reserves the right to stop the work covered by this IFB and any contract(s) resulting therefrom at any time that it is deemed the successful Bidder is unable or incapable of performing the work to the state's satisfaction. In the event of such stopping, DOCCS shall have the right to arrange for the completion of the work in such manner as it may deem advisable and if the cost thereof exceeds the amount of the bid, the successful Bidder shall be liable to the State of New York for any such costs on account thereof. In the event that DOCCS issues a stop work order for the work as provided herein, the Contractor shall have ten (10) working days to respond thereto before any such stop work order shall become effective.

### **CONTRACT TERMS:**

1. All provisions and requirements of Appendix A Standard Clauses for New York State Contracts, which is attached hereto and forms a part hereof, will be incorporated into any contract resulting from this IFB, and will be binding upon the parties to such contract.
2. All provisions and requirements that are attached hereto and form a part hereof, will be incorporated into any contract resulting from this IFB, and will be binding upon the parties to such contract.
3. It is stipulated and agreed by the parties that the law of the State of New York shall solely and in all respects, govern with relation to any dispute, litigation, or interpretation arising out of or connected with any contract resulting from this IFB.
4. Any contract resulting from this IFB shall not be deemed executed, valid or binding unless and until approved in writing by the Attorney General and the Comptroller of the State of New York.

## GENERAL INFORMATION

### **PROCUREMENT RIGHTS:**

The State of New York reserves the rights for the following:

1. Reject any and all bids received in response to this Solicitation.
2. Disqualify a Bidder from receiving the award if the Bidder, or anyone in the Bidder's employ, has previously failed to perform satisfactorily in connection with public bidding or contracts.
3. Correct Bidders' mathematical errors and waive or modify other minor irregularities in bids received, after prior notification to the Bidder.
4. Adjust any Bidder's expected costs of the bid price based on a determination of the evaluation committee that the selection of the said Bidder will cause the State to incur additional costs.
5. Negotiate with Bidders responding to this Solicitation within the Solicitation requirements to serve the best interests of the State.
6. Begin contract negotiations with another bidding Contractor(s) to serve the best interests of the State should DOCCS be unsuccessful negotiating a contract with the selected Contractor within 21 days of selection notification.
7. Waive any mandatory, non-material requirement not met by all Bidders.
8. Not make an award from this Solicitation or withdraw any tentative awards made as a result of this Solicitation.
9. Make an award under this Solicitation in whole or in part.
10. Make multiple contract awards pursuant to the Solicitation.
11. Have any service completed via separate competitive bid or other means, as determined to be in the best interest of the State.
12. Seek clarifications of bids.
13. Disqualify any bidder whose conduct and/or bid fails to conform to the requirements of the IFB.
14. Prior to the bid opening, amend the IFB specifications to correct errors or oversights, or to supply additional information, as it becomes available.
15. Change any of the scheduled dates stated herein with written notice to all bidders who have received this IFB.
16. If two or more offers are found to be substantially equivalent, the Commissioner of DOCCS, at his sole discretion, will determine award.

**Please Note:** The State is not liable for any costs incurred by Bidders in the preparation and production of bids or for any work performed prior to the issuance of a contract.



**NYS DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION  
IFB 2018-06 URINALYSIS ANALYZERS  
SEPTEMBER 1, 2018 – AUGUST 31, 2023**

**SCOPE OF SERVICES**

**OVERVIEW:**

DOCCS is seeking to award a contract for bench top urinalysis analyzers on a reagent rental basis that includes machines, consumables (excluding distilled/sterile water), calibrators, controls, maintenance, testimony, training, and help desk assistance. [Microgenics Corporation meets this requirement see TAB 3 MGC Scope](#)

DOCCS conducts approximately 340,000 scans (84,165 x 4 + 3,340) for illicit substances using 5 reagent tests at 52 locations annually. A normal scan consists of THC (50ng/ml cutoff), Opiate (300 ng/ml cutoff), Buprenorphine (5 ng/ml cutoff), and Synthetic Cannabinoids XLR-11/UR-144 (10ng/ml cutoff). Additionally, work release facilities conduct scans for the use of ethyl alcohol (3,340), which is included in the above number of tests and scans. For evaluation purposes, the total cost of these tests will represent 88% of the weighted bid price.

[Microgenics Corporation meets this requirement see TAB 3 MGC Scope](#)

There are 27 Other Reagents (totaling 14,850 tests) listed on the bid cost sheet that DOCCS may require testing during the contract period. Please note, DOCCS is not currently testing for all of the substances listed. However, based on possible changes in the drug world, should the need arise, DOCCS asks bidders for pricing on other known reagents for future testing ability." For evaluation purposes, the total cost of these tests will represent 2% of the weighted price. [Microgenics Corporation meets this requirement see TAB 3 MGC Scope](#)

For evaluation purposes, the total cost of training will be worth 10% of the total weighted bid price.

**DESCRIPTION OF SYSTEM FUNCTIONALITY:** Documentation should be provided that is descriptive of the functions supported by the system. Existing product literature and prepared marketing materials may be included; however, this information is less useful than a more detailed user and technical document. Please include information on the following:

[Microgenics Corporation meets this requirement see TAB 3 MGC Scope](#)

**PRODUCT SPECIFICATIONS:**

**Hardware:**

1. Analyzers must be new and not refurbished.
2. Must provide 1 analyzer machine to each correctional facility (see Attachment A - Correctional Facilities Map & Locations, excluding the following correctional facilities: Taconic and Moriah).
3. Must print a daily sheet of all individuals tested with results, as well as the ability to print individual results.
4. Machine must be able to operate independent of internet connection, the ability to connect should be present for possible future use.
5. Installation shall be conducted by the company at a date and time requested by DOCCS (at least 1 week notice).
6. Provide timeframe for installation of equipment (as mutually agreed upon schedule between DOCCS and Awardee).
7. Provide delivery time after the order of equipment and reagents/consumables.

[Microgenics Corporation meets All hardware requirements listed above \(1 thru 7\) see TAB 3 MGC Scope](#)

**Consumables:**

Contractor will provide all consumables relating to urinalysis testing conducted with the exception of distilled water. Consumables must be received by the ordering Correctional Facility within 5 business days of an official request. Please note: there will be no shipping costs associated for orders of consumables and are to be shipped F.O.B. destination. In addition, the Contractor will be required to develop a method for correctional facilities to order consumables to be approved by DOCCS. Contractor must designate someone in their organization to be DOCCS' official contact for consumables.

[Microgenics Corporation meets this requirement see TAB 3 MGC Scope](#)

**Training:**

1. Initial onsite training for a maximum of 5 staff members shall be conducted by the awarded Contractor at each of DOCCS 52 facilities. The training will be worth 10% of the total weighted score.

[Microgenics Corporation meets this requirement see TAB 3 MGC Scope](#)

2. In addition, a mandatory Master trainer class will be conducted by the Contractor to allow DOCCS to train and certify new testers. Certificates will be provided by the Contractor. On-site master trainer classes will be conducted at the request of DOCCS but not more than one (1) time annually. This will occur in each of 9 DOCCS regions (HUBs) at a DOCCS location and will include no more than 36 individuals in total (approximately 4 per HUB). The training will encompass new drug trends, testifying for administrative hearings, common issues with the machine, proper procedures for training new testers, common issues with training new testers, minor preventative maintenance.

The training should also include peripherals and training materials for both the master trainer and new tester (PowerPoint/manual, tests, training aids, etc.) A method for the supply and updating of the curriculum as needed by the manufacturer should be available.

A minimum should be set by the manufacturer to determine tester proficiency. All training must occur on site as the restrictions to internet access is limited for many DOCCS employees. A state map of DOCCS facilities and HUBS is attached. The training may be conducted at any facility within a specific HUB based on availability of urinalysis room space and need.

For evaluation purposes, the total cost of training (total for items 1. and 2a-b.) will be worth 10% of the total weighted bid price. Please note: Vendor will only be paid for actual training events provided. DOCCS reserves the right to increase or decrease training sessions based on actual staff training needs; additional training classes will be paid based on the vendor's bid rate for the location where the additional training will be held.

**Please note: Training cost shall be invoiced separately from testing costs.**

#### **Support and Maintenance:**

1. Operators manual must be provided at a minimum of English and Spanish. Additional, manuals in other languages must be available upon request free of charge.
2. The Department requires a maintenance agreement for the life of agreement during business hours for service to the Urinalysis Analyzer as requested. This maintenance agreement will become effective upon expiration of the initial warranty. **Business Hours: 8:00 am – 5:00 pm, Monday – Friday (no weekends or state holidays)** The following are New York State designated holidays:

|                             |               |
|-----------------------------|---------------|
| New Year's Day              | Labor Day     |
| Martin Luther King, Jr. Day | Columbus Day  |
| Lincoln's Birthday          | Election Day  |
| Washington's Birthday       | Veteran's Day |
| Memorial Day                | Thanksgiving  |
| Independence Day            | Christmas     |

3. Must provide unlimited 24/7 telephone support (for technical support and troubleshooting)
4. Must provide preventive maintenance visits (at least 2 visits annually)
5. Must provide 24-hour response time (when on-site service is required/requested)
6. Must provide and cover, all parts, labor (including travel), and costs associated with repair and maintenance of the machine.
7. If replacement equipment is required due to failure, it must be received within 48 hours.
8. If replacement software is required due to failure, it must be received within 24 hours.
9. Helpdesk Operations
10. User feedback procedures
11. 24/7 and 365 support procedures
12. Warranty, returns and exchanges



**TESTIMONY:**

Testimony at DOCCS administrative hearings is required by the Contractor during normal business hours, telephonic testimony will be required on an as needed. Testimony may be, but is not limited to, machine operation, calibration, maintenance, procedures, and cross-reactivity. In the event of litigation, DOCCS may require the manufacturer provide an expert in the field of urinalysis drug testing to assist the New York State Attorney General's Office or DOCCS Counsel's Office in defending issues that may arise from the urinalysis testing of inmates.

Microgenics Corporation meets this requirement see TAB 3 MGC Scope

**NYS DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION  
IFB 2018-06 URINALYSIS ANALYZERS  
BID COST SHEET  
5-15-18**

DOCCS is seeking to award a contract for bench top urinalysis analyzers on a reagent rental basis that includes machines, consumables (excluding distilled/sterile water), calibrators, controls, maintenance, testimony, training, and help desk assistance. An award will be made to the responsive, responsible bidder offering the lowest grand total weighted bid price for testing requested in this IFB.

| Reagents                             | Estimated Annual Test Quantity (A)  | Price per test (B) | Kit size | Kit Yield | Price per Kit       | Total Cost (A x B) |
|--------------------------------------|-------------------------------------|--------------------|----------|-----------|---------------------|--------------------|
| Buprenorphine                        | 84,165 tests                        | 0.92               | 54ml     | 399       | <b>REDACTED</b>     |                    |
| Cannabinoids (THC)                   | 84,165 tests                        | 0.92               | 54ml     | 474       |                     |                    |
| Opiates                              | 84,165 tests                        | 0.92               | 54ml     | 678       |                     |                    |
| Synthetic Cannabinoids-2             | 84,165 tests                        | 0.92               | 54ml     | 639       |                     |                    |
| Ethyl Ethanol                        | 3,340 tests                         | 0.92               | 54ml     | 678       |                     |                    |
| Total                                | 340,000 tests                       |                    |          |           | Total Cost of Above | (C)                |
| *Other Reagents                      | *Estimated Annual Test Quantity (A) | Price per test (B) | Kit size | Kit Yield | Price per Kit       | Total Cost (A x B) |
| 6-AM                                 | 550 tests                           | 0.92               | 54ml     | 474       | <b>REDACTED</b>     |                    |
| Amphetamine                          | 550 tests                           | 0.92               | 54ml     | 678       |                     |                    |
| Barbiturates                         | 550 tests                           | 0.92               | 54ml     | 678       |                     |                    |
| Benzodiazepines                      | 550 tests                           | 0.92               | 54ml     | 678       |                     |                    |
| Benzoylcegonine (cocaine metabolite) | 550 tests                           | 0.92               | 54ml     | 678       |                     |                    |
| Creatinine                           | 550 tests                           | 0.92               | 108ml    | 612       |                     |                    |
| Ecstasy                              | 550 tests                           | 0.92               | 54ml     | 678       |                     |                    |
| EDDP                                 | 550 tests                           | 0.92               | 54ml     | 678       |                     |                    |
| Etg                                  | 550 tests                           | 0.92               | 54ml     | 678       |                     |                    |
| K2 (Synthetic Cannabinoids-1)        | 550 tests                           | 0.92               | 54ml     | 639       |                     |                    |
| K2 (Synthetic Cannabinoids-3)        | 550 tests                           | 0.92               | 54ml     | 639       |                     |                    |
| Ketamine                             | 550 tests                           | 1.31               | 25ml     | 275       |                     |                    |
| Meperidine                           | 550 tests                           | 1.08               | 25ml     | 330       |                     |                    |
| Methadone                            | 550 tests                           | 0.92               | 54ml     | 678       |                     |                    |
|                                      |                                     |                    |          |           |                     |                    |
|                                      |                                     |                    |          |           |                     |                    |

| *Other Reagents           | *Estimated Annual Test Quantity (A) | Price per test (B)  | Kit size | Kit Yield | Price per Kit   | Total Cost (A x B) |
|---------------------------|-------------------------------------|---------------------|----------|-----------|-----------------|--------------------|
| Methamphetamine           | 550 tests                           | 1.55                | 25ml     | 330       | <b>REDACTED</b> |                    |
| Methaqualone              | 550 tests                           | 0.92                | 100ml    | 1320      |                 |                    |
| Nitrite                   | 550 tests                           | 0.92                | 108ml    | 564       |                 |                    |
| Opiates 2k                | 550 tests                           | 0.92                | 54ml     | 678       |                 |                    |
| Oxidants                  | 550 tests                           | 0.92                | 108ml    | 564       |                 |                    |
| Oxycodone                 | 550 tests                           | 0.92                | 54ml     | 678       |                 |                    |
| pH                        | 550 tests                           | 0.92                | 108ml    | 564       |                 |                    |
| Phencyclidine (PCP)       | 550 tests                           | 0.92                | 54ml     | 678       |                 |                    |
| Propoxyphene              | 550 tests                           | 0.92                | 54ml     | 678       |                 |                    |
| Specific gravity          | 550 tests                           | 0.92                | 108ml    | 564       |                 |                    |
| Tramadol                  | 550 tests                           | 1.01                | 25ml     | 330       |                 |                    |
| Tricyclic antidepressants | 550 tests                           | 1.00                | 25ml     | 122       |                 |                    |
| Total                     | 14,300 tests                        | Total Cost of Above |          |           | (D)             |                    |

\*Test quantities are for evaluation purposes only in determining the lowest weighted bid price. The test quantities can increase or decrease during the contract period.

For evaluation purposes, a weighted bid price of eighty-eight percent (88%) of the cost for the 5 reagents listed above will be used, and a weighted bid price of 2% of the overall cost will be attributed to the other listed reagents. \* The price requested for Other Reagents are for the purpose of establishing the price per test should the need to test arise during the contract period.

Bidders must submit pricing per test for the reagents listed to be considered for award. Any alteration to the Bid Cost Sheet may result in the disqualification of bid.

### Training

1. Initial on-site training for a maximum of 5 DOCCS staff members per facility shall be conducted by the awarded Contractor at each of DOCCS 52 facilities (Attachment A)

Total cost: **REDACTED PI** (1.)



## 2. On-site master training – HUB Training:

| HUBs          | Locations       | Employees Trained | Annual Training Event | Bid Price per training section |
|---------------|-----------------|-------------------|-----------------------|--------------------------------|
| Clinton       | Clinton CF      | 4                 | 1                     | REDACTED                       |
| Elmira        | Five Points CF  | 4                 | 1                     |                                |
| Great Meadow  | Great Meadow CF | 4                 | 1                     |                                |
| Green Haven   | Fishkill CF     | 4                 | 1                     |                                |
| Sullivan      | Eastern CF      | 4                 | 1                     |                                |
| Oneida        | Mid-State CF    | 4                 | 1                     |                                |
| New York City | Queensboro CF   | 4                 | 1                     |                                |
| Watertown     | Watertown CF    | 4                 | 1                     |                                |
| Wende         | Wende CF        | 4                 | 1                     |                                |

a) Total Annual Cost Per Year (9 Sessions) =

\$

REDACTED

b) Option: Additional Training Events (2 / Year x Average of 9 events in a) above) \$

Total cost (a)+(b): REDACTED PII (2.)

For evaluation purposes, DOCCS will use the average of 9 events for additional training classes per year. DOCCS reserves the right to increase or decrease training sessions based on actual staff training needs; vendor will be paid for the vendor's bid rate for the location where the additional training will be held.

For evaluation purposes, the total cost of training (total for items 1. and 2a-b.) will be worth 10% of the total weighted bid price.

Reagents Total Weighted Cost: (C) REDACTED x 88% = REDACTED

Other Reagents Total Weighted Cost: (D) REDACTED x 2% = REDACTED

Training Total Weighted Cost: (1+2) REDACTED x 10% = REDACTED

Grand Total: = \$ REDACTED

SIGNATURE: Carol BowersPRINTED NAME: Carol Bowers

RETURN THIS PAGE AS PART OF THE BID

PLEASE USE BLACK INK OR TYPEWRITER WHEN PREPARING YOUR BID. BE SURE YOU HAVE INSERTED YOUR COMPANY'S NAME IN THE BOX

⇒ ⇒ ⇒ ⇒ ⇒ ⇒

Bidder

*Microgenics Corporation*

**NOTES TO BIDDERS:** FAILURE TO ANSWER THE QUESTIONS WILL DELAY THE EVALUATION OF YOUR BID AND MAY RESULT IN REJECTION OF YOUR BID.

- Are prices quoted the same as or lower than those quoted other corporations, institutions and government agencies (including GSA/VA contracts) on similar products, quantities, terms, and conditions? See "Best Pricing Offer" in Appendix B, General Specifications.  
If "NO", please explain on a separate sheet.

  X   YES        NO

- Person or persons to contact for expediting New York State contract orders:

Name:

Brenda Collum

Title:

Sales Representative

Telephone Number:

(516) 441-6302

Toll Free Telephone Number:

(800) 232-3342 opt 2 opt 3

Fax Number:

( )

Toll Free Fax Number:

( )

E-Mail Address:

techservice.mgcAthermofisher.com

- Person or persons to contact in the event of an emergency occurring after business hours or on weekend/holidays:

State Normal Business Hours (Specify M-F, Sat, Sun):

Name:

Technical Support Team

Title:

Telephone Number:

(800) 232-3342 opt 2 opt 3

Fax Number:

( )

Pager Number:

( )

Cellular Telephone Number:

( )

E-Mail Address:

Techservice.mgcAthermofisher.com

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Bidder

*Microgenics Corporation*

**BIDDERS PLEASE ANSWER THE FOLLOWING  
QUESTIONS:**

1. Are you a New York State resident business?
2. Total number of people employed by your business:
3. Total number of people employed by your business in  
New York State:
4. Is your business independently owned and operated?
5. **BIDDER'S PRINCIPAL PLACE OF BUSINESS\*:**

\*"Principal Place of Business" is the location of the primary  
control, direction and management of the enterprise.

\_\_\_\_\_ YES ☒ NO

500

0

☒ YES \_\_\_\_\_ NO

State of California

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⇒ ⇒ ⇒ ⇒ ⇒ ⇒

Bidder

*Microgenics Corporation*

#### 6. ENCOURAGING USE OF NEW YORK STATE BUSINESSES IN CONTRACT PERFORMANCE

New York State businesses have a substantial presence in State Contracts and strongly contribute to the economies of the state and the nation. In recognition of their economic activity and leadership in doing business in New York State, Bidders/Proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the Contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles.

Bidders/Proposers need to be aware that all authorized users of this Contract will be strongly encouraged, to the maximum extent practical and consistent with legal requirements, to use responsible and responsive New York State businesses in purchasing commodities that are of equal quality and functionality and in utilizing services and technology. Furthermore, Bidders/Proposers are reminded that they must continue to utilize small, minority and women-owned businesses, consistent with current State law.

Utilizing New York State businesses in State Contracts will help create more private sector jobs, rebuild New York's infrastructure, and maximize economic activity to the mutual benefit of the Contractor and its New York State business partners. New York State businesses will promote the Contractor's optimal performance under the Contract, thereby fully benefiting the public sector programs that are supported by associated procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of New York businesses by its Contractors. The State therefore expects Bidders/Proposers to provide maximum assistance to New York businesses in their use of the Contract. The potential participation by all kinds of New York businesses will deliver great value to the State and its taxpayers.

Bidders/Proposers can demonstrate their commitment to the use of New York State businesses by responding to the question below:

Will New York State Businesses be used in the performance of this Contract?

\_\_\_\_\_ YES    ☒ NO

If yes, identify New York State Business(es) that will be used:  
(Attach identifying information)

N/A

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## Required Information and Forms

- Appendix A – Standard Clauses for New York State Contracts
- Appendix B – General Specifications (dated August 2012)
- Appendix C – Contractor Requirements for EEO and M/WBE

All bidders **must submit the following required forms with bid.** Forms are provided in this attachment unless otherwise noted:

- Bid Cost Sheet (pages 28-30)
- Non-Disclosure Form (Attachment B)
- Vendor Assurance of No Conflict of Interest or Detrimental Effect (Attachment C)
- Vendor Responsibility Questionnaire (if not completed online, see Page 13 for information and web links to complete)
- Tax and Finance Form ST-220-CA (Form ST-220-TD is filed directly with NYS Department of Tax & Finance)
- Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance
- M/WBE and EEO Policy Statement (located in Appendix C)
- EEO Staffing Plan (Form EEO 100)

The following documentation will be required **only upon notice of tentative award:**

- Compliance with Workers' Compensation and NYS Disability Benefits Insurance Requirements (see Page 21):
  - Proof of Compliance with Workers' Compensation Coverage
  - Proof of Compliance with Disability Benefits Coverage
- Contractor Insurance Requirements (see Pages 17-22)



**NEW YORK STATE DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION**  
**IFB 2018-06 URINALYSIS ANALYZERS**  
**QUESTIONS AND ANSWERS**  
**MAY 15, 2018**

1. Can you please give us a breakdown of the Thermo and Siemens bid results from 11/28/2017. All we have is the total award as listed below:

Intent to award date: 11/28/2017 Type of bid result: IFB Bid result: Vendors Microgenics Corporation- Lowest Bid **REDACTED** Siemens HealthCare **REDACTED** Alere San Diego **REDACTED** Bid results contact: Corrections and Community Supervision, NYS Dept. of Support Operations Contract Procurement Unit Marla Henriquez Contract Management Specialist 1 1220 Washington Avenue State Campus Albany, NY 12226 United States 518-436-7886 ext.3135 [doccscontracts@doccs.ny.gov](mailto:doccscontracts@doccs.ny.gov) Created by: Marla Henriquez Created date: 01/12/2018 Last edited by: Marla Henriquez Last edited date: 01/12/2018

IFB 2018-06 Urinalysis Analyzers is a re-bid and documents from IFB 2017-14 may only be released after an award is made on the re-bid.

2. On the bid cost sheet of the bid proposal, located on page 28-29, is every reagent listed on this sheet a **MUST** criteria to enter this bid submission?

Please refer to IFB 2018-06, page 15, Price.

3. As the incumbent, will the State accept keeping the existing analyzers on premise in lieu of new equipment as the IFB states as a requirement? Retaining the existing equipment will provide the most cost effective solution, in addition to minimizing the challenges, disruption, and training required to implement new platforms in each facility. The existing analyzers were new on initial installation, have been maintained by Siemens for the duration of use in adherence to all manufacturer guidelines, and are considered to be in like-new condition.

Please refer to IFB 2018-06, Product Specifications, page 25.

4. Training Section of the IFB 2018-06 – Does the training need to be performed by a Technical Application Specialist or Certified Trainer that is certified by the Manufacturer?

The training should be conducted by a certified authorized representative of the manufacturer/vendor.

5. Based upon the response of the question asked regarding training - do we need to specify who is performing the training?

Yes.

6. K2 (Synthetic Cannabinoids -2) is listed twice on IFB 2018-06 Cost Sheet – 1<sup>st</sup> on the Standard Reagent Panel and again in the "Other Reagent". Is this a typographical error? If so, where should K2 be listed – in Reagents – weighted at 88% or Other Reagents – weighted at 2%?

Yes, this is a typographical error. The total cost should be on the 1<sup>st</sup> posting of K2 (Synthetic Cannabinoids -2) for the standard reagent test (weighted at 88%). The revised Bid Cost Sheet has been posted in the Contract Reporter.

7. Siemens Healthcare Diagnostics, Inc. is requesting an extension of the current bid due date of 5/23/2018. If the questions are not answered and posted in a timely fashion this could impact the response due to the impending Memorial Day holiday. Necessary resources will not be available to address questions that will be generated from the Q & A period.

No change will be made to the bid due date.

8. To ensure efficiency and eliminate errors, will "liquid ready to use" reagents be a requirement? Reagents that require reconstitution pose a higher risk. "Liquid ready to use" reagents eliminates unnecessary steps in reagent preparation.

No. This is not a requirement.

9. Do you require a Buprenorphine assay that screens for both Buprenorphine and the metabolite Nor-Buprenorphine? Buprenorphine metabolizes into Nor-Buprenorphine rather quickly. Having a screen that cross reacts with both buprenorphine and Nor-buprenorphine provides a complete picture.

No. This is not a requirement.

10. With the opioid epidemic, would you find a FDA cleared Fentanyl beneficial to your current drug testing program?

Not applicable to this bid.

Vendor Signature: Carol Bowers

Printed Name: Carol Bowers

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NEW YORK STATE DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION  
IFB 2018-06 URINALYSIS ANALYZERS  
Revised - QUESTIONS AND ANSWERS  
MAY 16, 2018

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No. This is not a requirement.

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No. This is not a requirement.

10. With the opioid epidemic, would you find a FDA cleared Fentanyl beneficial to your current drug testing program?

Not applicable to this bid.

11. The estimated annual test quantity throughput stated on the bid cost sheet, does it indicate the throughput for all 52 facilities i.e. 84,165 tests between all 52 sites so approximately 1618 tests per site, or is this throughput quantity per site i.e. 84,165 tests per site?

The 84,165 tests is an annual estimate between all 52 correctional facilities.

Vendor Signature: Carol Bowers

Printed Name: Carol Bowers

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# EXHIBIT 2

# CEDIA® Buprenorphine II Assay

Thermo  
SCIENTIFIC

**IVD** For *In Vitro* Diagnostic Use Only

Rx Only

**REF** 10020849 (3 x 17 mL Kit)  
10020850 (65 mL Kit)

## Intended Use

The CEDIA® Buprenorphine II Assay is a homogeneous enzyme immunoassay for the qualitative and/or semi-quantitative determination for the presence of buprenorphine and its metabolites in human urine at a cut-off concentration of 10 ng/mL. The assay is intended to be used in laboratories and provides a simple and rapid analytical screening procedure to detect buprenorphine and its metabolites in human urine. The assay is designed for use with a number of clinical chemistry analyzers.

The semi-quantitative mode is for the purpose of enabling laboratories to determine an appropriate dilution of the specimen for confirmation by a confirmatory method such as Liquid chromatography/tandem mass spectrometry (LC-MS/MS) or permitting laboratories to establish quality control procedures.

**The assay provides only a preliminary analytical test result. A more specific alternative chemical method must be used to obtain a confirmed analytical result. Gas chromatography/mass spectrometry (GC/MS) or Liquid chromatography/tandem mass spectrometry (LC-MS/MS) is the preferred confirmatory method.<sup>1</sup>**

Clinical and professional judgment should be applied to any drugs of abuse test result, particularly when preliminary results are used. For *In Vitro Diagnostic* Use Only.

## Summary and Explanation of the Test

Buprenorphine is a semi-synthetic opioid analgesic derived from thebaine, a minor component of opium. Buprenorphine is structurally similar to morphine. It is a partial agonist receptor modulator.<sup>2</sup> Buprenorphine has a longer duration of action than morphine and can be administered sublingually as an analgesic. Subutex®, a higher dose buprenorphine formulation, is widely used in Europe and elsewhere as a substitution treatment for opiate addiction.<sup>3,5</sup> The FDA has approved the use of Subutex and Suboxone®, containing buprenorphine as the active drug, for the treatment of opiate dependence in the US. Subutex and Suboxone are the first narcotic drugs available under the US Drug Abuse Treatment Act (DATA) of 2003 for the treatment of opiate dependence that can be prescribed in the US in a physician's work place.<sup>6</sup> It has also been shown that buprenorphine has abuse potential and may cause dependency. In addition, a number of deaths have been recorded as a result of overdose with intravenously injected buprenorphine in conjunction with other psychotropic drugs such as benzodiazepines.<sup>7</sup> Buprenorphine is metabolized primarily by N-dealkylation to form norbuprenorphine and by conjugation to form buprenorphine-glucuronide and norbuprenorphine-glucuronide.<sup>8</sup>

The CEDIA Buprenorphine II Assay uses recombinant DNA technology to produce a unique homogeneous enzyme immunoassay system.<sup>9</sup> The assay is based on the bacterial  $\beta$ -galactosidase enzyme (*Escherichia coli*), which has been genetically engineered into two inactive fragments. These fragments spontaneously re-associate to form fully active enzymes that, in the assay format, cleave a substrate, generating a color change that can be measured spectrophotometrically at 570 nm.

In this assay, the analyte in the sample competes with the analyte conjugated to the inactive fragment (enzyme donor) of the  $\beta$ -galactosidase enzyme for the antibody binding site. If the analyte is present in the sample, it binds to the antibody, leaving the inactive enzyme fragment free to form active enzyme. If the analyte is not present in the sample, antibody binds to the analyte conjugated on the inactive fragment, inhibiting the re-association of inactive  $\beta$ -galactosidase fragments, and no active enzyme is formed. The amount of active enzyme formed and resultant absorbance change is directly proportional to the amount of analyte present in the sample.

## Reagents

- 1 EA Reconstitution Buffer**  
Contains buffer salts, mouse monoclonal anti-buprenorphine derivative antibody 0.8 - 1.0 mg/L, stabilizer, and preservative.
- 1a EA Reagent**  
Contains 0.171 g/L Enzyme Acceptor, buffer salts and preservative.
- 2 ED Reconstitution Buffer**  
Contains buffer salts, stabilizers, and preservatives
- 2a ED Reagent**  
Contains 0.175 mg/L Enzyme Donor conjugated to buprenorphine derivative, 1.67 g/L chlorophenol red- $\beta$ -D-galactopyranoside, stabilizers, detergent and preservative.

**Additional Materials Required (sold separately):**

| REF      | Kit Description   |
|----------|---|
| 10021390 | CEDIA Negative Calibrator II (1 x 7.5 mL)   |
| 10020799 | CEDIA Buprenorphine II Calibrator 10 ng/mL (1 x 5 mL)                                 |
| 10020800 | CEDIA Buprenorphine II Calibrator 20 ng/mL (1 x 5 mL)                                 |
| 10020801 | CEDIA Buprenorphine II Calibrator 50 ng/mL (1 x 5 mL)                                 |
| 10020802 | CEDIA Buprenorphine II Calibrator 100 ng/mL (1 x 5 mL)                                |
| 10020804 | CEDIA Buprenorphine II Low (7.5 ng/mL) and High (12.5 ng/mL) Controls (2 x 5 mL each) |

## ⚠ Warnings and Precautions

**DANGER:** Powder reagents contain  $\leq 55\%$  w/w Bovine Serum Albumin (BSA) fragments and  $\leq 1\%$  w/w Sodium Azide. Liquid reagents contain  $\leq 0.5\%$  Bovine Serum,  $\leq 0.2\%$  Sodium Azide, and  $\leq 0.1\%$  Drug-Specific Antibody (Mouse).

The reagents are harmful if swallowed.

H317 - May cause allergic skin reaction.

H334 - May cause allergy or asthma symptoms or breathing difficulties if inhaled.

EUH032 - Contact with acids liberates very toxic gas.

Avoid breathing mist or vapor. Contaminated work clothing should not be allowed out of the workplace. Wear protective gloves/eye protection/face protection. In case of inadequate ventilation wear respiratory protection. If on skin: Wash with plenty of soap and water. IF INHALED: If breathing is difficult, remove victim to fresh air and keep at rest in a position comfortable for breathing. If skin irritation or rash occurs: Get medical advice/attention. If experiencing respiratory symptoms: Call a POISON CENTER or a doctor/physician. Wash contaminated clothing before reuse. Dispose of contents/container to location in accordance with local/regional/national/international regulations.

In the case of accidental spill, clean and dispose of material according to your laboratory's Standard Operating Procedure (SOP), local, and state regulations.

In the case of damaged packaging on arrival, contact your technical support representative (refer to last page of this Package Insert).

## Reagent Preparation and Storage

For preparation of the solutions, refer to the section below. Remove the kit from refrigerated storage (2-8°C) immediately prior to preparation of the solutions.

Prepare the solutions in the following order to minimize possible contamination.

### R2 Enzyme Donor Solution

Connect Bottle 2a (ED reagent) to Bottle 2 (ED Reconstitution Buffer) using one of the enclosed adapters. Mix by gentle inversion, ensuring that all the lyophilized material from Bottle 2a is transferred into Bottle 2. Avoid the formation of foam. Detach Bottle 2a and adapter from Bottle 2 and discard. Cap Bottle 2 and let stand approximately 5 minutes at room temperature (21-25°C). Mix again. Record the reconstitution date on the bottle label. Place the bottle directly into the reagent compartment of the analyzer or into refrigerated storage (2-8°C) and let stand 30 minutes before use.

### R1 Enzyme Acceptor Solution

Connect Bottle 1a (EA reagent) to Bottle 1 (EA Reconstitution Buffer) using one of the enclosed adapters. Mix by gentle inversion, ensuring that all the lyophilized material from Bottle 1a is transferred into Bottle 1. Avoid the formation of foam. Detach Bottle 1a and adapter from Bottle 1 and discard. Cap Bottle 1 and let stand approximately 5 minutes at room temperature (21-25°C). Mix again. Record the reconstitution date on the bottle label. Place the bottle directly into the reagent compartment of the analyzer or into refrigerated storage (2-8°C) and let stand 30 minutes before use.

**⚠ NOTE 1:** The components supplied in this kit are intended for use as an integral unit. Do not mix components from different lots.

**⚠ NOTE 2:** Avoid cross-contamination of reagents by matching reagent caps to the proper reagent bottles. The R2 solution (Enzyme Donor) should be yellow-orange in color. A red or red-purple color indicates that the reagent has been contaminated and must be discarded. Discard Reagents 1 or 2 if turbidity or precipitates are observed.

**⚠ NOTE 3:** The R1 and R2 solutions must be at the reagent compartment storage temperature of the analyzer before performing the assay. Refer to the analyzer specific application sheet for additional information.

Store reagents at 2-8°C. **DO NOT FREEZE.**

For shelf life of the unopened components, refer to the box or bottle labels for the expiration date.

**R1 Solution:** 60 days refrigerated on analyzer or at 2-8°C.

**R2 Solution:** 60 days refrigerated on analyzer or at 2-8°C.

## Specimen Collection and Handling

Collect urine specimens in plastic or glass containers. Care should be taken to preserve the chemical integrity of the urine sample from the time it is collected until the time it is assayed.

Specimens kept at room temperature that do not receive initial test within 8 days<sup>10</sup> of arrival at the laboratory should be placed into a secure refrigeration unit at 2-8°C for up to 30 days.<sup>11,12</sup> For longer storage prior to analysis or for sample retention after analysis, urine specimens may be stored at -20°C.<sup>13</sup> Studies have shown buprenorphine analytes in urine are stable at -20°C up to 85 days.<sup>13</sup>

Laboratories following the SAMHSA mandatory guidelines should refer to SAMHSA “Short-Term Refrigerated Storage” and “Long-Term Storage” requirements.<sup>14</sup>

To protect the integrity of the sample, do not induce foaming and avoid repeated freezing and thawing. An effort should be made to keep pipetted samples free of gross debris. It is recommended that grossly turbid specimens be centrifuged before analysis. Frozen samples should be thawed and mixed prior to analysis. Adulteration of the urine sample may cause erroneous results. If adulteration is suspected, obtain another sample and forward both specimens to the laboratory for testing.

**Handle all urine specimens as if they were potentially infectious.**

## Assay Procedure

The CEDIA Buprenorphine II Assay is intended for use on automated clinical analyzers capable of maintaining a constant temperature, pipetting, mixing reagents, measuring enzymatic rates at 570 nm and timing the reaction accurately can be used to perform this immunoassay. Refer to specific application instructions for each analyzer for chemistry parameters before performing the assay.

### Qualitative analysis

For qualitative analysis, use the CEDIA Buprenorphine II cutoff calibrator (10 ng/mL).

### Semi-quantitative analysis

For semi-quantitative analysis, use all five calibrators.

## Quality Control and Calibration

Good laboratory practice requires the use of control specimens to ensure proper assay performance. Ensure that control results are within the established ranges, as determined by laboratory procedures and guidelines. If results fall outside of the established ranges, assay results are invalid. All quality control requirements should be performed in conformance with local, state and/or federal regulations or accreditation requirements. Each laboratory should establish its own quality control testing frequency.

## Results and Expected values

### Qualitative

The 10 ng/mL calibrator is used as a cutoff reference for distinguishing ‘positive’ from ‘negative’ samples. A sample that exhibits a change in absorbance values ( $\Delta A$ ) equal to or greater than that obtained with the cutoff calibrator is considered as positive. A sample that exhibits a change in absorbance value ( $\Delta A$ ) lower than that obtained with the cutoff calibrator is considered as negative.

### Semi-quantitative

An estimate of drug concentrations in the samples can be obtained by running a standard curve with all calibrators and estimating sample concentrations off the standard curve. Sample results above the high calibrator should be diluted with negative urine calibrator and retested.

## Limitations

1. A positive result from this assay indicates only the presence of Buprenorphine or its metabolites and does not necessarily correlate with the extent of physiological and psychological effects. This is a screening test. All positive results must be confirmed via GC/MS or LC-MS/MS.
2. It is possible that substances other than those investigated in the specificity study may interfere with the test and cause false results.
3. Care should be taken when reporting concentration results since there are many factors e.g. fluid intake and other biologic factors that may influence a urine test result.
4. Performance characteristics for the CEDIA Buprenorphine II assay performance have not been established with body fluids other than human urine.

## Specific Performance Characteristics

Typical performance results obtained on a Beckman Coulter AU680 analyzer are shown below. The results obtained in your laboratory may differ from these data.

## Precision

Samples were prepared by spiking Buprenorphine into drug free urine at the cutoff, 25%, 50%, 75% & 100% above and below the cutoff and tested in both qualitative and semi-quantitative modes using a Clinical Laboratory and Standards Institute (CLSI) protocol. Results presented below were generated by testing all samples in replicates of 2, twice per day for 20 days, total n=80. Representative data is presented below.

## Qualitative Study Analysis

| Buprenorphine Spike Concentration (ng/mL) | % of Cutoff (10 ng/mL) | LC-MS/MS (ng/mL) | Total Precision (n=80)   |   |
|---|------------------------|------------------|--------------------------|---|
|   |                        |                  | Number of Determinations | Immunoassay Results (Negative/Positive) |
| 0   | -100%                  | 0.00             | 80                       | 80/0                                    |
| 2.5                                       | -75%                   | 2.99             | 80                       | 80/0                                    |
| 5   | -50%                   | 5.31             | 80                       | 80/0                                    |
| 7.5                                       | -25%                   | 7.63             | 80                       | 80/0                                    |
| 10  | 100%                   | 10.99            | 80                       | 27/53                                   |
| 12.5                                      | +25%                   | 12.97            | 80                       | 0/80                                    |
| 15  | +50%                   | 15.05            | 80                       | 0/80                                    |
| 17.5                                      | +75%                   | 18.92            | 80                       | 0/80                                    |
| 20  | +100%                  | 20.38            | 80                       | 0/80                                    |

## Semi-Quantitative Study Analysis

| Buprenorphine Spike Concentration (ng/mL) | % of Cutoff (10 ng/mL) | LC-MS/MS (ng/mL) | Total Precision (n=80)   |   |
|---|------------------------|------------------|--------------------------|---|
|   |                        |                  | Number of Determinations | Immunoassay Results (Negative/Positive) |
| 0   | -100%                  | 0.00             | 80                       | 80/0                                    |
| 2.5                                       | -75%                   | 2.99             | 80                       | 80/0                                    |
| 5   | -50%                   | 5.31             | 80                       | 80/0                                    |
| 7.5                                       | -25%                   | 7.63             | 80                       | 80/0                                    |
| 10  | 100%                   | 10.99            | 80                       | 35/45                                   |
| 12.5                                      | +25%                   | 12.97            | 80                       | 0/80                                    |
| 15  | +50%                   | 15.05            | 80                       | 0/80                                    |
| 17.5                                      | +75%                   | 18.92            | 80                       | 0/80                                    |
| 20  | +100%                  | 20.38            | 80                       | 0/80                                    |

## Accuracy

One hundred and fifty three urine patient samples were analyzed by the CEDIA Buprenorphine II Assay in both qualitative and semi-quantitative modes and the results were compared to LC-MS/MS.

### Qualitative Accuracy study with LC-MS/MS for Buprenorphine only as reference method

| Candidate Device Results | Negative | < 50% of Cutoff concentration by LC-MS/MS (< 5 ng/mL) | Near Cutoff Negative (Between 50% below the cutoff and the cutoff concentration as determined by LC-MS/MS) (5 – 9.9 ng/mL) | Near Cutoff Positive (Between the cutoff and 50% above the cutoff concentration as determined by LC-MS/MS) (10 – 15.0 ng/mL) | High Positives (Greater than 50% above cutoff concentration) (> 15.0 ng/mL) |
|--------------------------|----------|---|--|--|---|
| Positive                 | 31*      | 11*   | 4*   | 5  | 45  |
| Negative                 | 49       | 2   | 6  | 0  | 0   |

### Semi-Quantitative Accuracy study with LC-MS/MS for Buprenorphine only as reference method

| Candidate Device Results | Negative | < 50% of Cutoff concentration by LC-MS/MS (< 5 ng/mL) | Near Cutoff Negative (Between 50% below the cutoff and the cutoff concentration as determined by LC-MS/MS) (5 – 9.9 ng/mL) | Near Cutoff Positive (Between the cutoff and 50% above the cutoff concentration as determined by LC-MS/MS) (10 – 15.0 ng/mL) | High Positives (Greater than 50% above cutoff concentration) (> 15.0 ng/mL) |
|--------------------------|----------|---|--|--|---|
| Positive                 | 32 *†    | 11*   | 4*   | 5  | 45  |
| Negative                 | 48       | 2   | 6  | 0  | 0   |

**\*Table for Discordant Samples**

Accuracy samples were categorized based upon the LC-MS/MS concentration for Buprenorphine only. The table below identifies those samples with Buprenorphine concentration below the cutoff, in which the observed CEDIA Buprenorphine II assay result was positive due to detection of Buprenorphine metabolites.

| Sample ID       | EIA              |            | LC-MS/MS Concentration (ng/mL) |                     |                      |                         |                   |
|-----------------|------------------|------------|--------------------------------|---------------------|----------------------|-------------------------|-------------------|
|                 | Qualitative Mode | SQ (ng/mL) | Bup***                         | NorBup <sup>†</sup> | Bup-Glu <sup>†</sup> | NorBup-Glu <sup>†</sup> | Total by LC-MS/MS |
| 51              | Pos              | 10.08      | <LLOQ**                        | 2.27                | 1.96                 | 6.18                    | 10.41             |
| 52              | Pos              | 10.02      | <LLOQ                          | 0.69                | 3.15                 | 6.84                    | 10.68             |
| 53 <sup>‡</sup> | Neg              | 10.42      | <LLOQ                          | 1.08                | 7.89                 | 1.82                    | 10.79             |
| 54              | Pos              | 11.59      | <LLOQ                          | 1.09                | 5.67                 | 5.54                    | 12.30             |
| 55              | Pos              | 10.40      | <LLOQ                          | 3.27                | 2.54                 | 7.92                    | 13.73             |
| 56              | Pos              | 16.36      | <LLOQ                          | 4.02                | 7.46                 | 3.73                    | 15.21             |
| 57              | Pos              | 17.31      | <LLOQ                          | 3.28                | 10.67                | 3.09                    | 17.04             |
| 58              | Pos              | 19.82      | <LLOQ                          | 5.03                | 10.91                | 2.05                    | 17.99             |
| 59              | Pos              | 18.73      | <LLOQ                          | 3.10                | 9.09                 | 6.59                    | 18.78             |
| 60              | Pos              | 22.63      | <LLOQ                          | 4.18                | 8.30                 | 7.34                    | 19.82             |
| 61              | Pos              | 18.95      | <LLOQ                          | 1.96                | 9.90                 | 9.90                    | 21.76             |
| 62              | Pos              | 26.11      | <LLOQ                          | 4.36                | 10.87                | 6.92                    | 22.15             |
| 63              | Pos              | 24.99      | <LLOQ                          | 5.26                | 8.41                 | 9.01                    | 22.68             |
| 64              | Pos              | 24.91      | <LLOQ                          | 3.86                | 23.19                | <LLOQ                   | 27.05             |
| 65              | Pos              | 20.87      | <LLOQ                          | 1.44                | 14.06                | 14.06                   | 29.56             |
| 66              | Pos              | 23.21      | <LLOQ                          | 2.23                | 25.24                | 2.50                    | 29.97             |
| 67              | Pos              | 30.27      | <LLOQ                          | 4.42                | 8.82                 | 16.84                   | 30.08             |
| 68              | Pos              | 31.35      | <LLOQ                          | 16.52               | 9.41                 | 5.47                    | 31.40             |
| 69              | Pos              | 35.38      | <LLOQ                          | 7.13                | 5.30                 | 22.38                   | 34.81             |
| 70              | Pos              | 40.38      | <LLOQ                          | 12.21               | 18.65                | 9.11                    | 39.97             |
| 71              | Pos              | 38.44      | <LLOQ                          | 2.93                | 12.40                | 28.84                   | 44.17             |
| 72              | Pos              | 48.60      | <LLOQ                          | 23.41               | 15.34                | 5.44                    | 44.19             |
| 73              | Pos              | 62.31      | <LLOQ                          | 5.47                | 36.52                | 25.00                   | 66.99             |
| 74              | Pos              | 81.31      | <LLOQ                          | 33.59               | 23.42                | 12.72                   | 69.73             |
| 75              | Pos              | 88.67      | <LLOQ                          | 26.22               | 32.43                | 23.10                   | 81.75             |
| 76              | Pos              | 79.26      | <LLOQ                          | 6.34                | 80.00                | 2.77                    | 89.11             |
| 77              | Pos              | >100.01    | <LLOQ                          | 8.63                | 56.89                | 46.95                   | 112.47            |
| 78              | Pos              | >100.01    | <LLOQ                          | 101.98              | 10.40                | 9.90                    | 122.28            |
| 79              | Pos              | >100.01    | <LLOQ                          | 7.91                | 26.43                | 144.00                  | 178.34            |
| 80              | Pos              | >100.01    | <LLOQ                          | 49.66               | 97.61                | 121.12                  | 268.39            |
| 81              | Pos              | >100.01    | <LLOQ                          | <LLOQ               | 145.72               | 394.81                  | 540.53            |
| 82              | Pos              | >100.01    | <LLOQ                          | 129.95              | 105.07               | 664.47                  | 899.49            |
| 83              | Pos              | >100.01    | 0.81                           | 32.14               | 39.52                | 59.14                   | 131.61            |
| 84              | Pos              | 63.54      | 0.86                           | 7.41                | 29.46                | 31.38                   | 69.11             |
| 85              | Pos              | 20.48      | 0.90                           | 5.42                | 11.54                | <LLOQ                   | 17.86             |
| 86              | Pos              | >100.01    | 0.91                           | 54.00               | 18.10                | 10.52                   | 83.53             |
| 87              | Pos              | 46.32      | 2.00                           | 12.03               | 13.58                | 16.24                   | 43.85             |
| 88              | Pos              | >100.01    | 2.00                           | 6.83                | 193.42               | 131.65                  | 333.90            |
| 89              | Pos              | >100.01    | 2.02                           | 75.75               | 174.74               | 442.98                  | 695.49            |
| 90              | Pos              | 66.32      | 2.48                           | 6.53                | 57.67                | 1.52                    | 68.20             |
| 91              | Pos              | >100.01    | 3.63                           | 80.26               | 733.7                | 624.02                  | 1441.61           |
| 92              | Pos              | >100.01    | 4.38                           | 69.28               | 146.16               | 349.33                  | 569.15            |
| 93              | Pos              | >100.01    | 4.45                           | 59.03               | 55.01                | 17.31                   | 135.80            |
| 100             | Pos              | >100.01    | 8.64                           | 36.91               | >ULOQ**              | 224.42                  | >1000             |
| 101             | Pos              | >100.01    | 8.94                           | 51.32               | 497.32               | 55.06                   | 612.64            |
| 102             | Pos              | >100.01    | 5.22                           | 35.13               | 85.99                | 22.24                   | 148.58            |
| 103             | Pos              | 77.36      | 6.60                           | 147.58              | 195.67               | 40.28                   | 390.13            |

\*\* <LLOQ: Lower Limit of Quantitation (0.65 ng/mL), >ULOQ: Upper Limit of Quantitation (1000 ng/mL);

\*\*\* Bup: Buprenorphine;

# NorBup: Norbuprenorphine;

† Bup-Glu: Buprenorphine-β-D-glucuronide;

‡ NorBup-Glu: Norbuprenorphine-β-D-glucuronide;

‡ Additional discordant sample for Semi-Quantitative mode

**Analytical Recovery and Dilution Linearity**

To demonstrate the dilution linearity for purposes of sample dilution and quality control of the entire assay range, drug free urine was spiked to the high calibrator level of Buprenorphine (100 ng/mL) and diluted with drug free urine to generate 10 intermediate levels. Each sample was run in replicates of 5 in semi-quantitative mode and the average was used to determine percent recovery compared to the expected target value. Representative data is presented below.

| Buprenorphine                |                                | Recovery (%) |
|------------------------------|--------------------------------|--------------|
| Target Concentration (ng/mL) | Observed Concentration (ng/mL) |              |
| 5                            | 5.99                           | 119.8        |
| 10                           | 10.97                          | 109.7        |
| 20                           | 19.66                          | 98.3         |
| 30                           | 33.03                          | 110.1        |
| 40                           | 43.83                          | 109.6        |
| 50                           | 52.98                          | 106.0        |
| 60                           | 67.28                          | 112.1        |
| 70                           | 77.54                          | 110.8        |
| 80                           | 85.14                          | 106.4        |
| 90                           | 95.38                          | 106.0        |
| 100                          | 104.70                         | 104.7        |

**Specificity**

The cross-reactivity of Buprenorphine and its metabolites was evaluated by adding known amounts of each analyte to drug free urine. As indicated by the results in the table below, Buprenorphine, Norbuprenorphine and Norbuprenorphine-glucuronide exhibited ≥ 100% cross-reactivity. Buprenorphine-glucuronide showed less cross-reactivity.

| Buprenorphine and its metabolites | Tested Concentration (ng/mL) | Pos/Neg | Cross-reactivity (%) |
|-----------------------------------|------------------------------|---------|----------------------|
| Buprenorphine                     | 10                           | Pos     | 100                  |
| Norbuprenorphine                  | 8                            | Pos     | 125                  |
| Buprenorphine-β-D-glucuronide     | 13                           | Pos     | 76.9                 |
| Norbuprenorphine-β-D-glucuronide  | 10                           | Pos     | 100                  |

**Cross-reactivity of structurally related or unrelated opiate compounds**

| Structurally related compounds and other opiates         | Tested Concentration (ng/mL) | Pos/Neg | Cross-reactivity (%) |
|--|------------------------------|---------|----------------------|
| 6-Acetyl morphine  | 100,000                      | Neg     | < 0.01               |
| Diacetylmorphine (Heroin)                                | 100,000                      | Neg     | < 0.01               |
| Codeine  | 100,000                      | Neg     | < 0.01               |
| Dextromethorphan   | 100,000                      | Neg     | < 0.01               |
| Dihydrocodeine   | 100,000                      | Neg     | < 0.01               |
| EDDP (2-ethylidene-1,5-dimethyl-3,3-diphenylpyrrolidine) | 100,000                      | Neg     | < 0.01               |
| EMDP (2-Ethyl-5-methyl-3,3-diphenylpyrrolidine)          | 100,000                      | Neg     | < 0.01               |
| Fentanyl   | 100,000                      | Neg     | < 0.01               |
| Hydrocodone  | 100,000                      | Neg     | < 0.01               |
| Hydromorphone  | 100,000                      | Neg     | < 0.01               |
| Hydromorphone-β-D-glucuronide                            | 10,000                       | Neg     | < 0.1                |
| LAAM (Levo-alpha-acetylmethadol)                         | 100,000                      | Neg     | < 0.01               |
| Levorphanol  | 100,000                      | Neg     | < 0.01               |
| Methadone  | 100,000                      | Neg     | < 0.01               |
| Meperidine   | 100,000                      | Neg     | < 0.01               |
| Morphine   | 100,000                      | Neg     | < 0.01               |
| Morphine-3β-D-glucuronide                                | 100,000                      | Neg     | < 0.01               |
| Morphine-6β-D-glucuronide                                | 100,000                      | Neg     | < 0.01               |
| Nalorphine   | 100,000                      | Neg     | < 0.01               |



Table continued

| Structurally related compounds and other opiates | Tested Concentration (ng/mL) | Pos/Neg | Cross-reactivity (%) |
|--|------------------------------|---------|----------------------|
| Naloxone   | 100,000                      | Neg     | < 0.01               |
| Naltrexone                                       | 100,000                      | Neg     | < 0.01               |
| Norcodeine                                       | 100,000                      | Neg     | < 0.01               |
| Norhydrocodone                                   | 100,000                      | Neg     | < 0.01               |
| Norpropoxyphene                                  | 100,000                      | Neg     | < 0.01               |
| Noroxycodone                                     | 100,000                      | Neg     | < 0.01               |
| Noroxymorphone                                   | 100,000                      | Neg     | < 0.01               |
| Oxymorphone-β-D-glucuronide                      | 10,000                       | Neg     | < 0.1                |
| Oxycodone  | 100,000                      | Neg     | < 0.01               |
| Oxymorphone                                      | 100,000                      | Neg     | < 0.01               |
| Tapentadol                                       | 100,000                      | Neg     | < 0.01               |
| Tramadol   | 100,000                      | Neg     | < 0.01               |

The potential cross-reactivity posed by drugs commonly co-administered with Buprenorphine was evaluated by adding each substance to Buprenorphine spiked at low (7.5 ng/mL) and high (12.5 ng/mL) controls at the concentrations indicated. A drug was considered to cross-react if the observed Buprenorphine concentrations result exceeded 10 ng/mL. As shown in the table below, all the pharmacologic compounds evaluated exhibited minimal cross reactivity at the concentrations tested.

**Structurally unrelated compounds spiked at the concentration listed below into Low and High controls**

| Cross-reactants      | Spiked Concentration (ng/mL) | Spiked Buprenorphine Level |              |
|----------------------|------------------------------|----------------------------|--------------|
|                      |                              | Low Control                | High Control |
| Acetaminophen        | 500,000                      | Neg                        | Pos          |
| Acetylsalicylic acid | 500,000                      | Neg                        | Pos          |
| Amitriptyline        | 50,000                       | Neg                        | Pos          |
| Amoxicillin          | 100,000                      | Neg                        | Pos          |
| Amphetamine          | 1,000,000                    | Neg                        | Pos          |
| Amisulpride          | 100,000                      | Neg                        | Pos          |
| Benzoylcegonine      | 1,000,000                    | Neg                        | Pos          |
| Caffeine             | 100,000                      | Neg                        | Pos          |
| Carbamazepine        | 100,000                      | Neg                        | Pos          |
| Chlorpromazine       | 100,000                      | Neg                        | Pos          |
| Clomipramine         | 25,000                       | Neg                        | Pos          |
| Chloroquine          | 100,000                      | Neg                        | Pos          |
| Cimetidine           | 500,000                      | Neg                        | Pos          |
| Desipramine          | 10,000                       | Neg                        | Pos          |
| Doxepine             | 25,000                       | Neg                        | Pos          |
| Diphenylhydramine    | 100,000                      | Neg                        | Pos          |
| Ephedrine            | 100,000                      | Neg                        | Pos          |
| Fluoxetine           | 100,000                      | Neg                        | Pos          |
| Fluphenazine         | 100,000                      | Neg                        | Pos          |
| Hydroxychloroquine   | 100,000                      | Neg                        | Pos          |
| Ibuprofen            | 100,000                      | Neg                        | Pos          |
| Imipramine           | 25,000                       | Neg                        | Pos          |
| Maprotiline          | 100,000                      | Neg                        | Pos          |
| Mitragynine          | 100,000                      | Neg                        | Pos          |
| 7-hydroxymitragynine | 10,000                       | Neg                        | Pos          |
| Nalbuphine           | 100,000                      | Neg                        | Pos          |
| Nortriptyline        | 50,000                       | Neg                        | Pos          |
| Oxazepam             | 100,000                      | Neg                        | Pos          |
| Phencyclidine        | 100,000                      | Neg                        | Pos          |
| Phenobarbital        | 100,000                      | Neg                        | Pos          |

Table continued

| Cross-reactants | Spiked Concentration (ng/mL) | Spiked Buprenorphine Level |              |
|-----------------|------------------------------|----------------------------|--------------|
|                 |                              | Low Control                | High Control |
| Ranitidine      | 500,000                      | Neg                        | Pos          |
| Secobarbital    | 100,000                      | Neg                        | Pos          |
| Sulpiride       | 100,000                      | Neg                        | Pos          |
| Thioridazine    | 100,000                      | Neg                        | Pos          |
| Trimipramine    | 25,000                       | Neg                        | Pos          |

### Interference

The potential interference of pH and endogenous physiologic substances on recovery of Buprenorphine using CEDIA Buprenorphine II Assay was assessed by spiking known compounds of potentially interfering substances into the low (7.5 ng/mL) and high (12.5 ng/mL) controls for 10 ng/mL cutoff. In the presence of the compounds listed below, the controls were detected accurately, indicating that these compounds did not show interference in the assay.

| Compound              | Tested Concentration (mg/dL) | Spiked Buprenorphine Level |              |
|-----------------------|------------------------------|----------------------------|--------------|
|                       |                              | Low Control                | High Control |
| Acetaminophen         | 10                           | Neg                        | Pos          |
| Acetone               | 500                          | Neg                        | Pos          |
| Acetyl Salicylic Acid | 10                           | Neg                        | Pos          |
| Ascorbic Acid         | 150                          | Neg                        | Pos          |
| Caffeine              | 10                           | Neg                        | Pos          |
| Creatinine            | 400                          | Neg                        | Pos          |
| Ethanol               | 10                           | Neg                        | Pos          |
| Galactose             | 5                            | Neg                        | Pos          |
| Glucose               | 1000                         | Neg                        | Pos          |
| Hemoglobin            | 150                          | Neg                        | Pos          |
| Human Serum Albumin   | 200                          | Neg                        | Pos          |
| Ibuprofen             | 10                           | Neg                        | Pos          |
| Oxalic acid           | 50                           | Neg                        | Pos          |
| Riboflavin            | 3                            | Neg                        | Pos          |
| Sodium Chloride       | 1000                         | Neg                        | Pos          |
| Urea                  | 1000                         | Neg                        | Pos          |
| pH                    | 3                            | Neg                        | Pos          |
| pH                    | 4                            | Neg                        | Pos          |
| pH                    | 5                            | Neg                        | Pos          |
| pH                    | 6                            | Neg                        | Pos          |
| pH                    | 7                            | Neg                        | Pos          |
| pH                    | 8                            | Neg                        | Pos          |
| pH                    | 9                            | Neg                        | Pos          |
| pH                    | 10                           | Neg                        | Pos          |
| pH                    | 11                           | Neg                        | Pos          |

## Specific Gravity

Drug free urine samples with specific gravity ranging in value from 1.002 to 1.030 were split and spiked to a final concentration of either 7.5 ng/mL or 12.5 ng/mL (the low and high control concentrations, respectively). These samples were then evaluated in qualitative and semi-quantitative modes. No interference was observed.

| Specific Gravity | Spiked Buprenorphine Level |              |
|------------------|----------------------------|--------------|
|                  | Low Control                | High Control |
| 1.002            | Neg                        | Pos          |
| 1.004            | Neg                        | Pos          |
| 1.008            | Neg                        | Pos          |
| 1.013            | Neg                        | Pos          |
| 1.016            | Neg                        | Pos          |
| 1.018            | Neg                        | Pos          |
| 1.022            | Neg                        | Pos          |
| 1.023            | Neg                        | Pos          |
| 1.025            | Neg                        | Pos          |
| 1.030            | Neg                        | Pos          |

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## Key to Symbols Used

|  |   |
|--|---|
|  | Manufacturer                                    |
|  | CE Mark   |
|  | Caution   |
|  | Lot Number/Batch Code                           |
|  | Use-by Date                                     |
|  | In Vitro Diagnostic Medical Device              |
|  | Consult Instructions for Use                    |
|  | Catalog Number                                  |
|  | Temperature Limit                               |
|  | Health Hazard                                   |
|  | Reagents  |
|  | Contents  |
|  | Authorized Representative in European Community |
|  | For Prescription Use Only                       |
|  | Require Reconstitution                          |
|  | Canadian Registration for Test Kit              |



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